SUPPLIER ASSURANCE

SAQ 5.0

Version number	**SAQ 5.0**
Stage	**Responding**
Questions	**25**
Language	**English (American) (en_US)**
Last updated	**11/08/23**

Responding

Introduction

About SAQ 5.0

An SAQ goes through the following 3 stage process on the SUPPLIER**ASSURANCE** platform before it is completed:

1. [R] Responding

SAQ 5.0 is a Sustainability Assessment questionnaire which covers the sections: Company Management, Human Rights and Working Conditions, Health and Safety, Business Ethics, Environment, Responsible Supply Chain Management and Responsible Sourcing of Raw Materials.

To complete SAQ 5.0, you will be required to answer a number of questions within the sections mentioned above. Some sections will be compulsory depending on your company's industry sector categorised by NACE®. The remaining sections will be optional for your industry but will contribute to the SAQ 5.0 Rating.

As you answer the questions within an SAQ you may be asked to upload evidence to support your response. The evidence you upload must meet the acceptable evidence criteria that is set out against each question and support the answers that you select. Where a question is scored, the maximum score will be shown next to the question.

2. [V] Validating

The SupplierAssurance team will review the evidence that you have uploaded to ensure that the documents meet the acceptable evidence criteria. Where evidence does not meet the criteria or does not cover your selected answers, a gap will be raised. You will be notified by email of any gaps in the evidence that you provide.

3. [R] Results

Once your SAQ has been validated, you will be notified by email. At this point, you can view the results including scores, gaps that were identified in the evidence that you uploaded and recommendations for improvement. You will then have the option to update your SAQ answers to address gaps or demonstrate improvement in your sustainability performance.

If you have an existing SAQ on your account, you can re-use its answers. This will save you time because you only need to review and change answers specific to this new location before you submit.

Choose an SAQ to re-use answers from

Guidance

Drive Sustainability revised the common SAQ in 2022 and it is now SAQ 5.0. You can access an overview of the changes between SAQ 4.0 and SAQ 5.0 here.

You can download a pdf of the questionnaire here.

Corporate Social Responsibility (CSR)/Sustainability is a process for companies to integrate environmental, social, and governance (ESG) topics into its corporate strategy, operations and supply chain.

Drive Sustainability has a set of common guidelines - the Guiding Principles - outlining minimum expectations for Automotive Industry suppliers on key CSR/Sustainability areas. These are based on fundamental principles of social, environmental and governance responsibility that are consistent with applicable laws and international standards, which may include the UN Guiding Principles on Business and Human Rights, ILO Conventions, OECD Guidelines for Multinational Enterprises, the Rio Declaration on Environment and Development, as well as the Paris Agreement.

In line with the Guiding Principles, this Sustainability Assessment Questionnaire (SAQ) is designed to indicate and verify supplier compliance on CSR/Sustainability topics through the assessment and verification of policies, processes, functions, tools and internal controls- that help an organization to control its operations, reach objectives and ensure continuous improvement.

It was developed in 2014 and revised in 2022* by the members of Drive Sustainability - The Automotive Partnership. It is currently being put into use by thirteen of the members** and is intended to avoid duplication and improve efficiency when responding to standard questions pertaining to CSR/Sustainability activities.

* 2022 Working Group members: BMW Group, Daimler Truck AG, Ford, Honda, Jaguar Land Rover, Mercedes-Benz AG, Scania CV AB, Stellantis, Toyota Motor Europe, Volkswagen Group, Volvo Cars and Volvo Group.

** OEMs using the SAQ: BMW Group, Daimler Truck AG, Ford, Honda, Jaguar Land Rover, Mercedes-Benz AG, Polestar, Scania CV AB, Stellantis, Toyota Motor Europe, Volkswagen Group, Volvo Cars and Volvo Group.

Responding

0. Profile Details

0a. Please provide details of the location you are completing this assessment for

Location address

[   ]

Location DUNS number

[9 numerical digits]

Purpose
Please select all of the purposes that apply to **this** location.

[ ] Administration

[ ] Mining/Extraction

[ ] Manufacturing

[ ] Smelting

[ ] Refining/Processing

[ ] Export/Trade

[ ] Distribution

0b. What is the staff headcount at **this** location?
Staff headcount refers to all permanent employees at this location as well as temporary, contract or agency workers whose duration of assignment exceeds 6 months.

[   ]

0c. Please provide your **ultimate** parent company's address details
Parent company refers to the global top parent of the requested location/site

Location address

[Search for location]

0d. What is the total staff headcount for the company group?
Staff headcount refers to all permanent employees across the company group as well as temporary, contract or agency workers whose duration of assignment exceeds 6 months.
Company group refers to all companies in the group that are under the ultimate ownership and control of the parent company.

[   ]

Responding

0e. Which category best describes your company's business area? Please select the main category for your company.

You can choose up to two categories that best describe your company's business area. The categories used are NACE® which is a global classification system of products and services

(!) Please select carefully as the Minimum Scope may change depending on the category you select.

[ ] 01.00 - Crop and animal production, hunting and related service activities

[ ] 01.11 - Growing of cereals (except rice), leguminous crops and oil seeds

[ ] 01.12 - Growing of rice

[ ] 01.13 - Growing of vegetables and melons, roots and tubers

[ ] 01.14 - Growing of sugar cane

[ ] 01.15 - Growing of tobacco

[ ] 01.16 - Growing of fiber crops

[ ] 01.19 - Growing of other non-perennial crops

(+695 further options)

Responding

0f. Select a commodity category that best describes what is produced at this location

Use the search field to view the full list of commodity categories and select at least one

Search for commodities...

Responding

0g. Please select the questions that you wish to complete.
The SAQ is made up of the following sections. Based on the industry category selected in question 0e, one or more questions in these sections are considered a Minimum Scope for the industry category and must be completed.

The Minimum Scope MS questions are ticked below by default, cannot be unselected and will contribute to your SAQ 5.0 Rating.

The SAQ 5.0 Rating is a combination of a Minimum Scope Rating and a Sustainability Score. The remaining questions are optional for your industry but will contribute to the Sustainability Score. You can choose to complete these by selecting them from the list below. Any sections not selected will not be visible throughout the questionnaire.

- [ ] **A. Company Management** Up to 13 questions
  Covers responsible person(s) and overarching policies and reporting.

  - [ ] 1. Has your company appointed senior management representation for environmental, social, ethics or human rights?

  - [ ] 1a. Does your company have a management person responsible for Social Sustainability?

  - [ ] 1b. Does your company have a management person responsible for Compliance/Business Ethics?

  - [ ] 1c. Does your company have a management person responsible for Environmental Sustainability?

  - [ ] 1d. Does your company have a management person responsible for monitoring sustainability risks (e.g. a Human Rights Officer)?

  - [ ] 2. Does your company publish a Corporate Social Responsibility (CSR)/Sustainability Report?

  - [ ] 2a. Is the most recent report assured by a third party?

  - [ ] 2b.1. What human rights elements are disclosed in the CSR report?

  - [ ] 2b.2. What environmental elements are disclosed in the CSR report?

  - [ ] 2c. Does your company report annually on the fulfillment of statutory due diligence obligations (e.g. the German LkSG) in the previous year?

  - [ ] 3. Does your company have a Code of Conduct?

  - [ ] 3a. Does your company organize training for your employees on the Code of Conduct?

  - [ ] 4. Does your company have a grievance mechanism or documented complaints procedure established at this location?

  - [ ] 4a. What are the characteristics of your company's grievance mechanism or complaints procedure? Please tick all that apply.

☐ 4b. What kind of complaints can be submitted? Please tick all that apply.

☐ 4c. Which stakeholder groups is the complaints mechanism available to? Please tick all that apply.

☐ 4d. How does your company optimize accessibility of the complaints procedure for all the stakeholder groups that are entitled to use it? Please tick all that apply.

☐ All other questions in this section

☐ **B. Human Rights and Working Conditions Up to 4 questions**
Covers the extent to which policies and procedures are established to respect the human rights of workers.

☐ 5. Does your company have a formal policy covering human rights and working conditions?

☐ 5a. Which of the following areas are covered by this policy?

☐ 5b. Does your company organize training for your employees on your human rights and working conditions policy?

☐ 6. Does your site have a management system in place to manage the human rights and working conditions issues?

☐ All other questions in this section

☐ **C. Health and Safety Up to 4 questions**
Covers evaluation and control of hazards arising in or from the workplace. Also covers the extent to which policies and procedures are established to provide workers with a safe and healthy working environment.

☐ 7. Does your company have a formal written health and safety policy in place, which complies with local law, industry requirements and international standards?

☐ 7a. Which of the following areas are covered by this policy?

☐ 7b. Does your company organize training for your employees on your health and safety policy?

☐ 8. Does your site have a health and safety management system in place?

☐ All other questions in this section

☐ **D. Business Ethics Up to 3 questions**
Covers governance and compliance with local and international legislation. Also covers the extent to which policies and procedures are established to ensure the highest standards of operational integrity.

☐ 9. Does your company have a formal policy covering business ethics?

☐ 9a. Which of the following areas are covered by this policy?

☐ 9b. Does your company organize training for your employees on your business ethics policy?

☐ **E. Environment Up to 15 questions**
Covers environmental protection through the implementation of policies and management systems. Also covers the extent to which policies and procedures are established to support a proactive approach to environmental responsibility.

☐ 10. Does your company have a formal environmental policy, which includes a commitment to legal compliance, continuous measurement and continuous improvements in environmental performance?

☐ 10a. Which of the following areas are covered by this policy?

☐ 10b. Does your company organize training for your employees on your environmental policy?

☐ 11. Does your site have an environmental management system in place?

☐ 12. Does your site have an energy management system?

☐ 13. What percentage of electricity used at your site in the last calendar year came from renewable sources?

☐ 14. What percentage of heating/cooling used at your site in the last calendar year came from renewable sources?

☐ 15. Does your company set Greenhouse Gas reduction targets?

☐ 15a. Are the targets Science Based Targets Initiative (SBTi) approved?

☐ 15b. Does your company have emission reduction targets for your upstream supply chain emissions (scope 3)?

☐ 16. Does your site use any substances with restrictions under any national or international statutory provision in production or operations?

☐ 16a. Does your site have written procedures to manage substances with restrictions under any regulations?

☐ 16b. Which of the following areas are covered by these written procedures?

☐ 17. Does your company have a current CDP score?

☐ 17a. Please specify your CDP score related to Climate Change

☐ 17b. Please specify your CDP score related to Water

☐ 17c. Please specify your CDP score for related to Forest

☐ All other questions in this section

11. Does your site have an environmental management system in place?

16. Does your site use any substances with restrictions under any national or international statutory provision in production or operations?

☐ **F. Responsible Supply Chain Management Up to 6 questions**

Covers compliance to all the aforementioned areas within a company's supply chain. Also covers the extent to which these areas are formally required of a company's suppliers and how this is communicated.

☐ **18. Does your company have set CSR/Sustainability requirements towards suppliers?**

☐ **18a. Which areas are covered by these CSR/Sustainability requirements?**

☐ **18b. Does your company use any of the following channels to communicate its Supplier CSR/Sustainability requirements to your suppliers?**

☐ **18c. Which processes does your company have in place to review if suppliers fulfill your sustainability requirements?**

☐ **19. Does your company perform sustainability risk assessments as part of the due diligence activities?**

☐ **19a. What is the scope of the risk assessment?**

☐ **19b. How often does your company conduct risk assessments?**

☐ All other questions in this section

☐ **G. Responsible Sourcing of Raw Materials Up to 7 questions**

Covers due diligence conducted to understand the source of the raw materials used in your products. Also covers the extent to which raw materials are responsibly sourced.

☐ **20. Are any of the following materials contained in your products?**

☐ **20a. Does your company have a policy for the responsible sourcing of these raw materials?**

☐ **20a.1. Which of the following materials are covered by this policy? Please tick all that apply.**

☐ **20b. Does your company participate in raw material specific initiative(s)?**

☐ **20c. Does your company have a company-scope Conflict Minerals Reporting Template (CMRT)?**

☐ **20d. Does your company have a company-scope Extended Minerals Reporting Template (EMRT)?**

☐ 21. Does your company have a responsible sourcing raw materials management system or undertake supply chain mapping?

☐ All questions in this section

Responding

A. Company Management

1. Has your company appointed senior management representation for environmental, social, ethics or human rights? (3.73%)

◯ Yes

◯ No

❗ **Please ensure that you have the appropriate permission from any referenced individual(s) to add their personal details to this SAQ response. By providing their details you are confirming that you have their consent.**

1a. Does your company have a management person responsible for **Social Sustainability**? (0.93%)

▶ Social sustainability

> Social sustainability relates to practices that contribute to the quality of life of both employees and communities that could be impacted by the company's operations.
>
> Companies should respect the human rights of workers, and treat all people with dignity as recognized by the international community. Examples of social topics to address include non-discrimination, freedom of association and health and safety.

◯ Yes

◯ No

Name

[   ]

Email

[someone@supplierassurance.com]

Job Title

[   ]

1b. Does your company have a management person responsible for **Compliance/Business Ethics**? (0.93%)

▶ Compliance/business ethics

> Compliance relates to the principles that guide business conduct in its relations towards its business partners and customers.
>
> Companies are expected to uphold the highest standards of integrity and to operate honestly and equitably throughout the supply chain in accordance with local laws. Examples of unethical business practice include corruption, unfair competition and conflicts of interest.

◯ Yes

Guidance

Companies are expected to appoint a senior management representative who, irrespective of other responsibilities, serves as a management person responsible for ensuring that the company meets its commitment related to social sustainability, compliance/business ethics and environmental sustainability. Companies should also determine clear responsibilities (in terms of time dedication) of designated representatives to the respective function, with proper documentation (e.g. job description).

For companies that fall within the scope of the German Supply Chain Due Diligence Act (LkSG), the official person responsible for social sustainability may also be considered responsible for human rights-related topics required by the law.

The contact details that you provide in response to this question will not be contacted without prior notice. In the first instance, enquiries will be directed to the person that completes this sustainability assessment questionnaire.

○ No

Name

[   ]

Email

[someone@supplierassurance.com   ]

Job Title

[   ]

1c. Does your company have a management person responsible for **Environmental Sustainability?** (0.93%)

► Environmental sustainability

> Environmental sustainability relates to practices that contribute to the quality of the environment on a long term basis.
>
> Companies are expected to support a proactive approach to environmental responsibility by protecting the environment, conserving natural resources and reducing the environmental footprint of their production, products and services throughout their life-cycle. Examples of company practices include reducing greenhouse gas emissions and waste reduction programs.

○ Yes

○ No

Name

[   ]

Email

[someone@supplierassurance.com   ]

Job Title

[   ]

1d. Does your company have a management person responsible for monitoring **sustainability risks** (e.g. a Human Rights Officer)? (0.93%)

► Sustainability risk management/human rights officer

Companies benefit significantly from appointing a Human Rights Officer (HRO) or similar title, with the task of monitoring sustainability and/or human rights risks. This task is best performed if kept strictly separate from the everyday ongoing operational due diligence. The six criteria below demonstrate if this is the case:

- The HRO regularly checks operational compliance with the company's human rights and environmental policies and statutory requirements.
- The HRO is available to all staff for advice on human-rights and environmental issues.
- The HRO might make suggestions for remedial actions regarding violations identified but other staff carries out the action.
- The HRO liaises with senior management and proposes risk management improvements.
- The HRO reports to senior management but is not bound by superiors' instructions (e.g. the HRO is, by contract, protected against dismissal).
- The HRO briefs senior management, at least once a year, on risk management position.

○ Yes

○ No

Name

[   ]

Email

[someone@supplierassurance.com]

Job Title

[   ]

Responding

2. Does your company publish a **Corporate Social Responsibility (CSR)/Sustainability Report?** (3.55%)

► CSR Report

> A CSR/Sustainability report is an organizational report that gives information about economic, environmental, social and ethical performance.

◯   Yes, as a separate report according to the Global Reporting Initiative (GRI) or other globally accepted standard

Please provide the name of the globally accepted standard

[   ]

A report can be for the parent company if it covers the location or company in question.

❗ **The document you upload must include your company name or logo and it must be in a supported language (English, French, Spanish, German, Mandarin Chinese, Brazilian Portuguese, Japanese or Italian).**

Please upload relevant document (pdf, image) (up to 15mb)

[Choose File] No file selected

◯   Yes, as an integrated part of the Annual Report, e.g. Annual and Sustainability Report, according to GRI or other globally accepted standard

Please provide the name of the globally accepted standard

[   ]

A report can be for the parent company if it covers the location or company in question.

Guidance

(ref:2) In the European Union (EU), the EU Directive on the disclosure of non-financial and diversity information Directive 2014/95/EU sets out the rules on disclosure of non-financial and diversity information by large companies. Subsequently, the Directive was transposed into the national legislation of EU Member States with some differences in implementation between countries.

❗ **The document you upload must include your company name or logo and it must be in a supported language (English, French, Spanish, German, Mandarin Chinese, Brazilian Portuguese, Japanese or Italian).**

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

◯ Yes, but not according to globally accepted standards

Documents we accept

You should upload a document that follows a report format and covers CSR topics

Please note: A policy or code of conduct is not evidence of a CSR Report

Please provide the name of the alternative standard

[   ]

A report can be for the parent company if it covers the location or company in question.

❗ **The document you upload must include your company name or logo and it must be in a supported language (English, French, Spanish, German, Mandarin Chinese, Brazilian Portuguese, Japanese or Italian).**

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

◯ No

2a. Is the most recent report assured by a third party?

► Third party assurance

Third party assurance is an external evaluation and verification of the credibility, accuracy and relevance of a report.

◯ Yes, the assurance letter is included in the report

◯ Parts are assured, the scope is explained in the assurance letter

Documents we accept

You should upload a third party auditor's letter or a document that contains the third party auditor's assurance of your CSR/sustainability report

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

◯ No

2b.1. What **human rights** elements are disclosed in the CSR report?

! **If the CSR report that you uploaded above does not cover all the disclosure elements that you select below, gaps will be raised during the validation process. You will not receive a score for disclosure elements that are not covered in the CSR report document.**

☐ Our company's identified potential and actual human rights risks

☐ Description of existing measures that our company has already taken to address human rights risks and a review of the effectiveness of these measures

☐ Description of future measures that our company plans to take to manage our human rights risks

☐ We do not report on our company's human rights risks

2b.2. What **environmental** elements are disclosed in the CSR report?

! **If the CSR report that you uploaded above does not cover all the disclosure elements that you select below, gaps will be raised during the validation process. You will not receive a score for disclosure elements that are not covered in the CSR report document.**

☐ Our company's identified environmental risks

☐ Description of existing measures that our company has already taken to address environmental risks and a review of the effectiveness of these measures

☐ Description of future measures that our company plans to take to manage our environmental risks

☐ We do not report on our company's environmental risks

2c. Does your company report annually on the fulfillment of statutory due diligence obligations (e.g. the German LkSG) in the previous year?

◯ Yes

> ## Documents we accept
>
> You should upload a document that follows a report format and covers due diligence topics. Examples include:
>
> - Report focused on due diligence related activities
> - CSR/Sustainability report that covers due diligence activities
> - Integrated report that includes due diligence activities
>
> **Please note**: A policy or code of conduct is not evidence of a report on due diligence activities

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

◯ No

Responding

3. Does your company have a **Code of Conduct**? (10.03%)

► Code of conduct

> A Code of Conduct is a set of rules outlining the responsibilities or proper practice for an individual (employee) and organization. It should cover social, ethical and environmental aspects.

◯ Yes

Documents we accept

- Code of Conduct
- Code of Ethics
- Employee Handbook
- Contractual terms and conditions if there is reference to Code of Conduct/Policies
- CSR/Sustainability Policy if there is reference to employees and organizational responsibilities
- ZVEI - Code of Conduct for Social Responsibility

❗ The document you upload must include your company name or logo and it must be in a supported language (English, French, Spanish, German, Mandarin Chinese, Brazilian Portuguese, Japanese or Italian).

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

◯ No

3a. Does your company organize training for your employees on the **Code of Conduct**?

► Code of conduct training

> Code of conduct training should communicate expectations of employees and employers to help a company build and reinforce a lawful and ethical culture.
>
> Code of conduct training may cover one or more of the topic areas listed below:
>
> - Expected behaviors
> - Company values/principles
> - Reporting misconduct
> - Human rights and working conditions
> - Health & safety
> - Business ethics
> - Environment

◯ Yes

Documents we accept

- Training certificates
- E-learning screenshots
- Training materials e.g. slide deck presentations
- Relevant management system certification e.g. environmental or health and safety
- Other documents that evidence you plan or deliver training related to the topic area

Please note: Evidence should not contain employee personal information

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

○ No, but we communicate the Code of Conduct through extranet/brochures, etc.

Documents we accept

- Screenshot of intranet
- Human resources (HR) or personnel manual
- Employment contract covering relevant topic
- Other documents that evidence that you communicate your code of conduct

Please note: Evidence should not contain employee personal information

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

○ No

Responding

4. Does your company have a grievance mechanism or documented complaints procedure established at this location? (3.77%)

► Grievance mechanism

> A grievance mechanism is a formal, legal or non-legal, complaints process accessible to employees and external stakeholders who have been negatively affected by activities and operations of a company or their employees.

○ Yes

Documents we accept

- SA8000 social management system
- Company handbook if it covers relevant issues
- Human resources (HR) or personnel manual
- Employment contract covering relevant topic
- Instructions on how to access a mechanism (e.g. an employee handbook or training materials)
- A process / procedure that is followed
- Evidence of the grievance mechanism or complaints procedure itself (e.g. screenshot of intranet portal or external portal agreement letter/invoice)
- Screenshot of online mechanism

❗ The document you upload must include your company name or logo and it must be in a supported language (English, French, Spanish, German, Mandarin Chinese, Brazilian Portuguese, Japanese or Italian).

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

○ No

4a. What are the characteristics of your company's grievance mechanism or complaints procedure? Please tick all that apply.

☐ Outlines who is responsible for the complaints procedure if applicable (there is a complaint body in place which third parties can contact directly or via an external service provider)

Please provide the contact details

[someone@supplierassurance.com]

☐ The responsible person(s) entrusted by the enterprise is impartial, independent and not bound by instructions

☐ The written rules of the complaints procedure outline the ways in which a complaint may proceed and indicates the approximate time each step may take

❗ If the grievance mechanism document you uploaded above does not outline the rules of the complaints procedure, a gap will be raised during the validation process.

Guidance

According to the UN "Protect, Respect and Remedy" Framework, companies must respect human rights and provide a remedy if their operations caused or contributed to adverse human rights impacts. Operational-level grievance mechanisms, for those potentially impacted by a company's activities, are recommended as an effective process through which companies can enable remediation.

☐ The written rules of the complaints procedure are publicly made available in relevant local languages in all countries in which we operate

☐ Complainant is provided confirmation of receipt upon reporting the complaint

☐ The complainant's identity is treated confidentially

☐ Commitment to non-retaliation against complainants

(!) **If the grievance mechanism document you uploaded above does not evidence commitment to non-retaliation, a gap will be raised during the validation process.**

☐ Complaints can be reported anonymously

☐ The complainant or their representative is consulted during remediation/resolution

☐ Evaluation of complaints procedure effectiveness at least once every 12 months and on an adhoc basis

☐ Appeal procedure

☐ None of the above

4b. What kind of complaints can be submitted? Please tick all that apply.

☐ Human rights complaints

☐ Environmental complaints

☐ Unethical business practices

4c. Which stakeholder groups is the complaints mechanism available to? Please tick all that apply.

☐ Internal Stakeholders (company/non-permanent employees, direct suppliers, service providers etc.)

☐ External Stakeholders (contractors, indirect suppliers, local communities etc.)

☐ Others

4d. How does your company optimize accessibility of the complaints procedure for all the stakeholder groups that are entitled to use it? Please tick all that apply.

☐ By carrying out training

☐ By different media

☐ Online

☐ Phone

☐ Email

☐ App

☐ By participating in a joint industry complaints procedure

☐ None of the above

Responding

B. Human Rights and Working Conditions

5. Does your company have a formal policy covering **human rights and working conditions**? (5.82%)

► Human rights and working conditions policy

A human rights and working conditions policy is a formal document, agreed upon by senior management, that demonstrates a company's commitment to treating employees and wider stakeholders with dignity, fairness and respect. The policy should outline the company's responsibility to respect and protect human rights based on compliance with law and international guidelines. In the work place, human rights include the right to a safe working environment, the right to fair remuneration and equal pay for equal work, the right to organize and participate in collective bargaining and the right to be protected from forced labor and trafficking.

○ Yes

Documents we accept

- Human rights and working conditions policy
- Social/labor standards policy
- Employee handbook if it covers relevant issues
- CSR/sustainability policy if it covers relevant issues
- Code of conduct or other business policy if it covers human rights or social issues

Please note: We do not accept management system certificates as evidence of policies.

! **The document you upload must include your company name or logo and it must be in a supported language (English, French, Spanish, German, Mandarin Chinese, Brazilian Portuguese, Japanese or Italian).**

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

○ No

5a. Which of the following areas are covered by this policy? Please tick all that apply.

! **If the document you upload does not cover all the policy areas that you select below, gaps will be raised during the validation process. You will not receive a score for policy areas that are not covered in the document.**

► Definitions

The list presented refers to the Global Automotive Sustainability Guiding Principles

Child labour and young workers relate to the prohibition of employment of children who are under the legal minimum working age. Moreover, suppliers are expected to ensure that legally young workers that are under 18 years of age do not work at night or overtime and are protected against conditions of work which are harmful for their health, safety or development consistent with ILO Minimum Age Convention No. 138. The supplier should ensure that the duty of young workers doesn't interfere with their school attendance. Young workers daily total

Guidance

(ref:5) Human rights are the rights we are entitled to simply because we are human beings. They represent the universally agreed minimum conditions that enable all people to maintain their dignity. Human rights are inherent to all of us, whatever our nationality, place of residence, sex, national or ethnic origin, color, religion, or any other status. Source: Universal Declaration of Human Rights

(ref:6) A management system is a set of documented controls, processes and /or procedures reviewed by management. It could be internal or developed according to a standard (Certified Management System). Certified management systems provide enhanced assurance to stakeholders that a company is committed to operate business in a sustainable manner and has implemented all the necessary processes. While the SAQ also recognizes internally developed management systems, the highest score is achieved if a management system is certified according to internationally recognized standards.

Relevant internationally accepted certification standards include:

- **SA8000 Social Management System**
- **RSCI audit certificate (FULL label)**

duty time and schooling shall not exceed 10 hours.
Source: EU Charter of Fundamental Rights and ILO

Wages and benefits relate to the basic or minimum wage or salary and any additional entitlements payable directly or indirectly, in cash or in kind, by the employer to the worker and arising out of the worker's employment. Suppliers must provide their workers with remuneration in accordance with applicable regulations and prevailing industry practices; such remuneration should be adequate to cover basic needs and enable a decent standard of living for the workers and their family, which includes respecting minimum wages, overtime compensation, medical leave and government-mandated benefits.
Source: ILO-UNGC and the Global Automotive Sustainability Practical Guidance

Working hours relate to regular workweeks that should not exceed 48 hours. A workweek shall be restricted to 60 hours in emergency situations, including overtime. All overtime shall be voluntary. Employees should have a minimum of one day off every seven days. Laws and regulations on the maximum number of working hours and time off shall be respected.
Source: Ethical Trading Initiative, based on ILO conventions

Modern slavery refers to all work or service exacted from any person under the menace of any penalty and for which that person has not offered themself voluntarily. Examples include forced overtime, retention of identity documents, as well as human trafficking. Modern Slavery is subject to the Modern Slavery Act 2015 by the Parliament of the United Kingdom. This Act requires that companies, who meet identified criteria, publish a "slavery and human trafficking statement" every year six months after the end of the company's financial year.
Source: International Labour Organisation (ILO) and The National Archives UK

Ethical recruiting refers to hiring workers lawfully, in line with the International Labour Standards, and in a fair and transparent manner that respects human rights. Examples of unethical recruitment include misleading or defrauding potential workers about the nature of the work, asking workers to pay recruitment fees, and/or confiscating, destroying, concealing, and/or denying access to worker passports and other government-issued identity documents. Workers must receive a written notification at the start of their recruitment in a language well understood by them, stating in a truthful, clear manner their rights and responsibilities.
Source: ILO and the Global Automotive Sustainability Practical Guidance

Freedom of association relates to the right to freedom of peaceful assembly and to freedom of association at all levels, in particular in political, trade union and civic matters, which implies the right of everyone to form and to join trade unions for the protection of their interests. This includes collective bargaining, as a process of negotiations between employers and a group of employees, aimed at reaching an agreement that regulates working conditions.
Source: EU Charter of Fundamental Rights

Harassment is defined as a harsh and inhumane treatment - or the threat of such treatment - including any sexual harassment, sexual abuse, corporal punishment, mental or physical coercion or verbal abuse of workers.
Source: Global Automotive Sustainability Practical Guidance.

Non-discrimination is a principle that requires the equal treatment of an individual or group, irrespective of their particular characteristics, including sex, race, colour, ethnic or social origin, genetic features, language, religion or belief, political or any other opinion, membership of a national minority, property, birth, disability, age or sexual orientation. Companies should pay equal remuneration for work of equal value not only with regard to gender but also all other potential bases for discrimination. This does not however, prohibit unequal payment due to different local living costs.
Source: EU Charter of Fundamental Rights

Women's rights refers to the principle that women are entitled to political, economic and social equality. Gender inequality underpins problems such as unequal opportunity in employment and unequal pay for equal work. The efforts for the advancement of women have resulted in several declarations and conventions, of which the Convention on the Elimination of All Forms of Discrimination against Women is the central document. The Convention gives positive affirmation to the principle of equality by requiring States parties to take "all appropriate measures, including legislation, to ensure the full development and advancement of women, for the purpose of guaranteeing them the exercise and enjoyment of human rights and fundamental freedoms on a basis of equality with men" (article 3).

Source: Convention on the Elimination of All Forms of Discrimination against Women and Global Automotive Sustainability Practical Guidance

Diversity, equity and inclusion relates to the principle that companies should develop and promote inclusive cultures where diversity is valued, celebrated and everyone is able to contribute fully and reach their full potential. Companies should encourage diversity in all levels of their workforce and leadership, including boards of directors.
Source: Global Automotive Sustainability Practical Guidance

Rights of minorities and indigenous peoples refer to respect for the rights of local communities to decent living conditions, education, employment, social activities, and the right to Free, Prior, and informed Consent (FPIC) to developments that affect them and the lands on which they live, with particular consideration for the presence of vulnerable groups.
Source: Global Automotive Sustainability Practical Guidance

Land, forest and water rights and forced eviction relates to the avoidance of forced eviction and the deprivation of land, forests and waters in the acquisition, development or other use of land, forests and waters.
Source: Global Automotive Sustainability Practical Guidance

Private or public security forces refers to the commission or use private or public security forces to protect the business project if, due to a lack of training or control on the part of the company, the deployment of the security forces may lead to violations of human rights.
Source: Global Automotive Sustainability Practical Guidance

- [ ] Child labor and young workers

- [ ] Wages and benefits

- [ ] Working hours

- [ ] Modern slavery (i.e. slavery, servitude and forced or compulsory labor and human trafficking)

- [ ] Ethical recruiting

- [ ] Freedom of association and collective bargaining

- [ ] Non-discrimination and harassment

- [ ] Women's Rights

- [ ] Diversity, Equity, and Inclusion

- [ ] Rights of Minorities and Indigenous Peoples

- [ ] Land, Forest and Water Rights and Forced Eviction

- [ ] Use of Private or Public Security Forces

5b. Does your company organize training for your employees on your **human rights and working conditions** policy?

► Human rights training

Human rights and working conditions training should provide clear instructions to employees on the expectations, policies and procedures relating to human rights and working conditions within the company.

Training may cover one or more of the topic areas listed below:

- Training on employment rights for employees and workers
- Training on company human rights and working conditions policy
- Equality, diversity or non discimination training
- Information campaign for employees and workers on identification of human rights violations

○ Yes

Documents we accept

- Training certificates
- E-learning screenshots
- Training materials e.g. slide deck presentations
- Relevant management system certification e.g. human rights and working conditions
- Other documents that evidence you plan or deliver training related to the topic area

Please note: Evidence should not contain employee personal information

Please upload relevant document (pdf, image) (up to 15mb)

Choose File | No file selected

○ No, but we communicate it through Intranet/Brochures, etc.

Documents we accept

- Screenshot of intranet
- Human resources (HR) or personnel manual
- Employment contract covering relevant topic
- Other documents that evidence that you communicate your human rights and working conditions policy

Please note: Evidence should not contain employee personal information

Please upload relevant document (pdf, image) (up to 15mb)

Choose File | No file selected

○ No

6. Does your site have a management system in place to manage the **human rights and working conditions** issues? (10.03%)

► Human rights and working conditions management system

A human rights and working conditions management system (certified or uncertified) will include processes to control, manage and improve human rights and working conditions across company activity. Having a management system for human rights and working conditions helps to empower employees and communities and prevents human rights violations. It also helps companies to effectively manage their risks and impacts, as well as to anticipate and address potential problems.

○ Yes, we have an internationally recognized certified management system

Documents we accept

Internationally recognized certified human rights and working conditions management system:

- SA8000 social management system
- RSCI audit certificate (FULL label)

If you are waiting for your new certificate, please upload a letter from the certification body confirming extension of certification as well as the original certificate

Please note: We do not accept RSCI Audit INTERIM label

! **The document you upload must include the location within the scope of the certification**

Certification standard

[   ]

Awarding body

[   ]

Certificate number

[   ]

Valid until

[Day ▼] [Month ▼] [Year ▼]

Please upload relevant document (pdf, image) (up to 15mb)

[Choose File] No file selected

◯ Yes, we have a nationally recognized certified management system

Documents we accept

We will accept any national certificate standards and will aim to verify the certificate with the relevant awarding body.

If you are waiting for your new certificate, please upload a letter from the certification body confirming extension of certification as well as the original certificate

Certification standard

[   ]

Awarding body

[   ]

Certificate number

[   ]

Valid until

[Day ▼] [Month ▼] [Year ▼]

Please upload relevant document (pdf, image) (up to 15mb)

[Choose File] No file selected

○ Yes, but the system is uncertified

<div style="background-color:#d9d9d9; padding:10px;">

Documents we accept

- Employee handbook if it covers relevant issues
- Process flow showing relevant procedures
- Audit report or audit corrective action plan
- Screenshot of internal management system if it shows there is a clear link to a designated management system
- Evidence of human rights and working conditions assessment and improvement

Please note: We do not accept policy documents as evidence of an uncertified management system.

</div>

❗ The document you upload must be in a supported language (English, French, Spanish, German, Mandarin Chinese, Brazilian Portuguese, Japanese or Italian).

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

○ No

Responding

C. Health and Safety

7. Does your company have a formal written **health and safety policy** in place, which complies with local law, industry requirements and international standards? (5.85%)

► Health and safety policy

> A health and safety policy is a formal document, agreed upon by senior management, that demonstrates a company's commitment to relevant health and safety standards. The policy should outline the company's responsibility to operate in compliance with law and international guidelines. A health and safety policy should highlight the commitment of management and employees to a healthy and safe workplace with a 'zero accidents' goal. It is the responsibility of management to provide sufficient resources and organization for health and safety and to do regular risk assessment and reporting in order to ensure continuous improvement of the system.

◯ Yes

Documents we accept

- Health and safety policy
- Employee handbook if it covers relevant issues
- CSR/sustainability policy if it covers relevant issues
- Code of conduct or other business policy if it covers health and safety issues

Please note: We do not accept management system certificates as evidence of policies.

! **The document you upload must include your company name or logo and it must be in a supported language (English, French, Spanish, German, Mandarin Chinese, Brazilian Portuguese, Japanese or Italian).**

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

◯ No

7a. Which of the following areas are covered by this policy? Please tick all that apply.

! **If the document you upload does not cover all the policy areas that you select below, gaps will be raised during the validation process. You will not receive a score for policy areas that are not covered in the document.**

► Definitions

Guidance

(ref:7) Health and safety refers to the science of the anticipation, recognition, evaluation and control of hazards arising in or from the workplace that could impair the health and well-being of workers, taking into account the possible impact on the surrounding communities and the general environment.
Source: ILO

(ref:8) A health and safety management system relates to organized efforts and procedures for identifying workplace hazards, reducing accidents and exposure to harmful situations and substances. It also includes the training of personnel in accident prevention, accident response, emergency procedures, and use of protective clothing and equipment. A management system can be developed internally or in accordance with national or international standards. Certified management systems provide enhanced assurance to stakeholders that a company is committed to operate business in a sustainable manner and has implemented all the necessary processes. While the SAQ also recognizes internally developed management systems, the highest score is achieved if a management system is certified according to internationally recognized standards.

Relevant internationally accepted certification standard:

- **ISO 45001 Occupational health and safety**

Personal Protective Equipment (PPE) is equipment that should be provided by the employer to protect against hazards and health and safety risks at work. It can include items such as safety helmets and hard hats, gloves, eye protection, high-visibility clothing, safety footwear and safety harnesses.

Machine safety should ensure the safe use and maintenance of machinery in the workplace, reducing the number of accidents and injuries in the work place.

Emergency preparedness is the act of preparing and planning for an emergency in the workplace. Preparing before an emergency incident plays a vital role in ensuring that employers and workers have the necessary equipment, know where to go, and know how to keep themselves safe when an emergency occurs. Examples include fire safety drills and evacuation procedures.

Incident and accident management refers to the various actions and process required to conduct the immediate and ongoing activities following an incident or accident.

Workplace ergonomics is the science of fitting a workplace to the user's needs with the aim of reducing strain, fatigue and injuries by improving product design and workspace arrangements. This includes desk height, chair height, manual handling and heavy lifting.

Handling of chemicals and/or biological substances means providing guidance to employees on how to handle chemicals and/or biological substances without harm to health. Companies should adequately control exposure to agents/substances, both chemical and biological, in the workplace, that cause ill health.

Fire protection systems play an important role in keeping building occupants, assets, and the building safe. Companies should ensure the workplace has smoke alarms, fire exit signs and lighting, fire escape ladders, if necessary, and fire prevention systems such as fire extinguishers and sprinklers.

- [ ] Personal protective equipment

- [ ] Machine safety

- [ ] Emergency preparedness

- [ ] Incident and accident management

- [ ] Workplace ergonomics

- [ ] Handling of chemical and/or biological substances

- [ ] Fire protection

7b. Does your company organize training for your employees on your **health and safety** policy?

► Health and Safety training

Health and safety training should include the provision of clear instructions to employees on how to ensure they carry out daily tasks safely and without risk of harm to health.

Training may cover one or more of the topic areas listed below:

- Fire evacuation drills and fire safety training
- Training on use of personal protective equipment
- Training on company health and safety policy
- Work environment inspections
- Training on work with hazardous materials
- Distribution of educational materials on health and safety procedures
- Information campaign for workers on health and safety procedures specific to the site

◯ Yes

Documents we accept

- Training certificates
- E-learning screenshots
- Training materials e.g. slide deck presentations
- Health and safety management system certification
- Other documents that evidence you plan or deliver training related to the topic area

Please note: Evidence should not contain employee personal information

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

◯ No, but we communicate it through Intranet/Brochures, etc.

Documents we accept

- Screenshot of intranet
- Human resources (HR) or personnel manual
- Employment contract covering relevant topic
- Other documents that evidence that you communicate your health and safety policy

Please note: Evidence should not contain employee personal information

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

◯ No

8. Does your site have a **health and safety management system** in place?
(10.03%)

► Health and safety management system

A health and safety management system (certified or uncertified) will include processes to control, manage and improve health and safety across company activity. Having a management system for health and safety helps to empower employees and prevents workplace incidents and accidents. It also helps companies to effectively manage their risks and impacts, as well as to anticipate and address potential problems.

◯ Yes, we have an internationally recognized certified management system

Documents we accept

Internationally recognized certified health and safety management system:

- ISO 45001

If you are waiting for your new certificate, please upload a letter from the certification body confirming extension of certification as well as the original certificate.

❗ **The document you upload must include the location within the scope of the certification**

Certification standard

[   ]

Awarding body

[   ]

Certificate number

[   ]

Valid until

[Day   ▼] [Month   ▼] [Year   ▼]

Please upload relevant document (pdf, image) (up to 15mb)

[Choose File] No file selected

◯ Yes, we have a nationally recognized certified management system

Documents we accept

We will accept any national certificate standards and will aim to verify the certificate with the relevant awarding body.

If you are waiting for your new certificate, please upload a letter from the certification body confirming extension of certification as well as the original certificate.

Certification standard

[   ]

Awarding body

[   ]

Certificate number

[   ]

Valid until

[Day   ▼] [Month   ▼] [Year   ▼]

Please upload relevant document (pdf, image) (up to 15mb)

[Choose File] No file selected

◯ Yes, but the system is uncertified

Documents we accept

- Employee handbook if it covers relevant issues
- Health and safety procedure documentation
- Health and safety training logs
- Hazard prevention and control methods
- Emergency prevention, preparedness and response procedure
- Health and safety system manual
- Screenshot of internal management system if it shows there is a clear link to a designated management system
- Process flow showing relevant procedures
- Risk assessment
- Audit report or audit corrective action plan

Please note: We do not accept policy documents as evidence of an uncertified management system.

❗ The document you upload must be in a supported language (English, French, Spanish, German, Mandarin Chinese, Brazilian Portuguese, Japanese or Italian).

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

◯ No

Responding

D. Business Ethics

9. Does your company have a formal policy covering **business ethics**? (5.85%)

► Business ethics policy

> A business ethics policy is a formal document, agreed upon by senior management, that demonstrates a company's commitment to conducting business, in accordance with local laws, in its business and supply chains. The policy should outline the company's responsibility to operate in compliance with law and international guidelines.

◯   Yes

Documents we accept

- Code of conduct or code of ethics policy
- Employee handbook if it covers relevant issues
- CSR/sustainability policy if it covers relevant issues
- Code of conduct or other business policy if it covers business ethics issues

Please note: We do not accept management system certificates as evidence of policies.

❗ The document you upload must include your company name or logo and it must be in a supported language (English, French, Spanish, German, Mandarin Chinese, Brazilian Portuguese, Japanese or Italian).

Please upload relevant document (pdf, image) (up to 15mb)

Choose File	No file selected

◯   No

9a. Which of the following areas are covered by this policy? Please tick all that apply.

❗ If the document you upload does not cover all the policy areas that you select below, gaps will be raised during the validation process. You will not receive a score for policy areas that are not covered in the document.

► Definitions

> The list presented refers to the Global Automotive Sustainability Guiding Principles
>
> **Corruption** can take many forms that vary in degree from the minor use of influence to institutionalised bribery. It is defined as the abuse of entrusted power for private gain. This can mean not only financial gain but also non-financial advantages.
> Source: UN Global Compact and Transparency International
>
> **Data protection and security** refers to an individual's right to make their own decisions about who can process their personal data and for what purpose. It also relates to the protection and safeguarding of such data from unauthorised access and data corruption throughout its lifecycle.
>
> **Financial responsibility** refers to a company's responsibility to accurately record, maintain and report business documentation including, but not limited to, financial accounts, quality reports, time records, expense reports and submissions to customers or regulatory authorities, when appropriate. Books and records are

expected to be maintained in accordance with applicable law and generally accepted accounting principles.
Source: Global Automotive Sustainability Practical Guidance

Disclosure of information refers to a company's responsibility to disclose financial and non-financial information in accordance with applicable regulations and prevailing industry practices and, when applicable, disclose information regarding labour force, health and safety practices, environmental practices, business activities, financial situation and performance.
Source: Global Automotive Sustainability Practical Guidance

Fair competition and anti-trust refers to companies upholding standards of fair business and competition including, but not limited to, avoiding business practices that unlawfully restrain competition, improper exchange of competitive information and price fixing, bid rigging or improper market allocation. It is the prime responsibility of large, medium and small companies alike to comply with competition rules. Companies need to be aware of the risks of infringing competition rules and how to develop a compliance policy/strategy that best suits their needs. An effective compliance policy/strategy enables a company to minimize the risk of involvement in competition law infringements, and the costs resulting from anti-competitive behaviour.
Source: Global Automotive Sustainability Practical Guidance and European Commission

Conflicts of interest occurs when an individual or a corporation (either private or governmental) is in a position to exploit their own professional or official capacity in some way for personal or corporate benefit.
Source: OECD

Counterfeit parts refers to the requirement for companies to develop, implement and maintain methods and processes appropriate to their products and services to minimize the risk of introducing counterfeit parts and materials into deliverable products. Companies are also expected to establish effective processes to detect counterfeit parts and materials and, if detected, quarantine the materials and notify the Original Equipment Manufacturer (OEM) customer and/or law enforcement as appropriate. Finally, companies are expected to confirm that any sales to non-OEM customers are compliant with local laws and those products sold will be used in a lawful manner.
Source: Global Automotive Sustainability Practical Guidance

Intellectual property refers to creations of the mind, such as inventions; literary and artistic works; designs; and symbols, names and images used in commerce. It is protected in law by, for example, patents, copyright and trademarks, which enable people to earn recognition or financial benefit from what they invent or create.
Source: World Intellectual Property Organisation

Export controls and economic sanctions refer to restrictions on the export or re-export of goods, software, services and technology, as well as with applicable restrictions on trade involving certain countries, regions, companies or entities and individuals.
Source: Global Automotive Sustainability Practical Guidance

Retaliation is defined as a direct or indirect adverse administrative decision and/or action that is threatened, recommended or taken against an individual who has reported suspected wrongdoing that implies a significant risk or cooperated with a duly authorized audit or an investigation of a report of wrongdoing. Companies are expected to establish processes (whistleblowing system) that allow concerns to be raised anonymously with confidentiality and without retaliation.
Source: WHO and Global Automotive Sustainability Practical Guidance

	Anti-Corruption and Anti-Money Laundering
	Data Protection and Data Security
	Financial responsibility (Accurate Records)
	Disclosure of Information

☐ Fair competition and anti-trust

☐ Conflicts of interest

☐ Counterfeit parts

☐ Intellectual property

☐ Export controls and economic sanctions

☐ Whistleblowing and protection against retaliation

9b. Does your company organize training for your employees on your **business ethics** policy?

► Business ethics training

> Business ethics training should develop employees' understanding of issues such as bribery, fraud, corruption, privacy and data protection to support, identify and deal appropriately with ethical issues if and when they arise.

◯ Yes

Documents we accept

- Training certificates
- E-learning screenshots
- Training materials e.g. slide deck presentations
- Other documents that evidence you plan or deliver training related to the topic area

Please note: Evidence should not contain employee personal information

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

◯ No, but we communicate it through Intranet/Brochures, etc.

Documents we accept

- Screenshot of intranet
- Human resources (HR) or personnel manual
- Employment contract covering relevant topic
- Other documents that evidence that you communicate your code of conduct or business ethics policy

Please note: Evidence should not contain employee personal information

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

◯ No

Responding

E. Environment

10. Does your company have a formal **environmental policy**, which includes a commitment to legal compliance, continuous measurement and continuous improvements in environmental performance? (5.85%)

► Environmental policy

> An environmental policy shows the company's overall intentions and direction related to its environmental performance. It reflects the company's commitment and is formally expressed by top management. It provides a framework for action, setting environmental objectives which take into account applicable legal and other requirements and the company's environmental impact of its operations, products and services, with the purpose of decreasing the environmental impact, saving resources and costs. The policy should ensure that there are no detrimental changes to soil, water pollution, harmful noise emissions or excessive water consumption.

◯   Yes

Documents we accept

- Environmental policy
- Employee handbook if it covers relevant issues
- CSR/sustainability policy if it covers relevant issues
- Code of conduct or other business policy if it covers environmental issues

Please note: We do not accept management system certificates as evidence of policies.

(!) **The document you upload must include your company name or logo and it must be in a supported language (English, French, Spanish, German, Mandarin Chinese, Brazilian Portuguese, Japanese or Italian).**

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

◯   No

10a. Which of the following areas are covered by this policy? Please tick all that apply.

(!) **If the document you upload does not cover all the policy areas that you select below, gaps will be raised during the validation process. You will not receive a score for policy areas that are not covered in the document.**

► Definitions

The list presented refers to the Global Automotive Sustainability Guiding Principles

Greenhouse gases trap heat in the atmosphere and contribute to global warming.

Energy efficiency refers to the amount of energy productively used given the same amount of energy inputs.

Renewable energy refers to energy that comes from natural resources that are not depleted when used. Examples include wind, solar or geothermal energy.

Decarbonization refers to the removal of GHG emissions from a company's value chain.

Water quality and consumption includes access to clean water and the conservation for future generations.

Air quality is the level of air pollution in the atmosphere.

Responsible chemical management takes into account the life cycle of chemicals including handling, storage and disposal.

Sustainable resource management is the practice of using less to preserve resources.

Waste reduction is the practice of using less resources to minimize waste and preserve resources.

Reuse refers to the practice of using existing materials or products as they are to reduce waste whilst recycling refers turning a product into a raw material that can be used again, often within a completely new product.

Animal welfare refers to the conditions in which an animal lives. An animal is in a good state of welfare if it is healthy, comfortable, well-nourished, safe, able to express innate behavior, and if it is free from unnecessary pain, fear or distress.

Biodiversity, land use, deforestation all refer to the maintenance of ecosystems so that flora and fauna are not lost and natural habitats do not suffer irreparable damage. As part of the European Union's Green Deal plans to protect ecosystems and biodiversity, the European Commission has proposed a new law to halt deforestation and minimize the EU's impact on forests worldwide. The proposed law will require companies that sell commodities linked to deforestation and forest degradation - such a soy, palm oil, wood and beef products (e.g. leather) - to ensure they are 'deforestation-free' before placing them on the European market or exporting them from the EU. Source: EU Commission (Directorate-General for Environment)

Soil quality refers to the measure of the condition of soil to do what it needs to do, specifically in relation to enhancing the environment and human health.

Noise emissions relate to the release of noise into the environment from various sources that can be grouped in: transportation activities, industrial activities and daily normal activities.

☐ GHG emissions

☐ Energy efficiency

☐ Renewable energy

☐ Decarbonization

☐ Water quality and consumption & management

☐ Air quality

☐ Responsible chemical management

☐ Sustainable resources management

☐ Waste reduction

☐ Reuse and recycling

☐ Animal welfare

☐ Biodiversity, land use and deforestation

☐ Soil quality

☐ Noise emissions

☐ Other areas

Please specify

┌─────────────────────────────────────┐
│   │
└─────────────────────────────────────┘

Responding

10b. Does your company organize training for your employees on your **environmental policy**?

▶ Environmental training

Environmental training should provide clear instructions and guidance to employees to ensure they are conducting their daily operations in a way that reduces or mitigates negative environmental impact.

Environmental training may cover one or more of the topic areas listed below:

- Greenhouse gases
- Water quality
- Air quality
- Sustainable resource management
- Responsible chemical management

○ Yes

Documents we accept

- Training certificates
- E-learning screenshots
- Training materials e.g. slide deck presentations
- Environmental management system certification
- Other documents that evidence you plan or deliver training related to the topic area

Please note: Evidence should not contain employee personal information

Please upload relevant document (pdf, image) (up to 15mb)

Choose File	No file selected

○ No, but we communicate it through Intranet/Brochures, etc.

Documents we accept

- Screenshot of intranet
- Human resources (HR) or personnel manual
- Employment contract covering relevant topic
- Other documents that evidence that you communicate your environmental policy

Please note: Evidence should not contain employee personal information

Please upload relevant document (pdf, image) (up to 15mb)

Choose File	No file selected

○ No

11. Does your site have an **environmental management system** in place? (10.02%)

▶ Environmental management system

Guidance

(ref:11) A management system can be developed internally or in accordance with national or international standards. Environmental audits enable an organization to assess and demonstrate its compliance to legislation; environmental performance; and the benefits and limitations of its environmental policy. It is a way of measuring the extent to which a company lives up to the shared values and objectives it has committed itself to. Environmental audits can be conducted internally or by an external body that issues a certificate. Certified management systems provide enhanced assurance to stakeholders that a company is committed to operate business in a sustainable manner and has implemented all the necessary processes. While the SAQ also recognizes internally developed management systems, the highest score is achieved if a management system is certified according to internationally recognized standards.

Examples of relevant internationally accepted certification standards include:

- ISO14001:2015 EMS
- ISO14064 GHG
- PAS 2060 Carbon neutrality
- BS8555 Certification: Implementation of environmental management systems
- PAS2050 Carbon footprint
- EU Eco-Management and Audit Scheme (EMAS)

An environmental management system (certified or uncertified) will include processes to control, manage and improve environmental performance across company activity. An environmental management system enables a company, in a structured and preventive way, to work with its environmental performance and improve environmental impact from its operations, products and services. Examples include: developing a policy/directions; establishing objectives; subscribing to legal and other requirements; risk management; implementing working procedures to achieve continuous improvements to support environmental protection; and reducing or preventing pollution.

○ Yes, we have an internationally recognized certified management system

Documents we accept

Internationally recognized certified environmental management system:

- ISO 14001:2015
- ISO 14064 GHG
- PAS2050 Carbon Footprint
- PAS2060 Carbon Neutrality
- BS8555 Certification: Implementation of environmental management systems
- EU Eco-Management and Audit Scheme (EMAS)

If you are waiting for your new certificate, please upload a letter from the certification body confirming extension of certification as well as the original certificate

! **The document you upload must include the location within the scope of the certification**

Certification standard

[   ]

Awarding body

[   ]

Certificate number

[   ]

Valid until

[Day ▼] [Month ▼] [Year ▼]

Please upload relevant document (pdf, image) (up to 15mb)

[Choose File] No file selected

○ Yes, we have a nationally recognized certified management system

Documents we accept

We will accept any national certificate standards and will aim to verify the certificate with the relevant awarding body.

If you are waiting for your new certificate, please upload a letter from the certification body confirming extension of certification as well as the original certificate

Certification standard

[   ]

Awarding body

[ ]

Certificate number

[ ]

Valid until

[Day ▼] [Month ▼] [Year ▼]

Please upload relevant document (pdf, image) (up to 15mb)

[Choose File] No file selected

○ Yes, but the system is uncertified

Documents we accept

- Employee handbook if it covers relevant issues
- Environmental management system manual
- Screenshot of internal management system if it shows there is a clear link to a designated management system
- Process flow showing relevant procedures
- Audit report or audit corrective action plan
- Evidence of environmental assessment and improvement

Please note: We do not accept policy documents as evidence of an uncertified management system.

! **The document you upload must be in a supported language (English, French, Spanish, German, Mandarin Chinese, Brazilian Portuguese, Japanese or Italian).**

Please upload relevant document (pdf, image) (up to 15mb)

[Choose File] No file selected

○ No

Responding

12. Does your site have an **energy management system?** (3.76%)

► Energy management system

> An energy management system (certified or uncertified) will include processes to control, manage and improve energy resource and efficiency across the site.

○ Yes, we have an internationally recognized certified management system

Documents we accept

Internationally recognized certified energy management system:

- ISO 50001

If you are waiting for your new certificate, please upload a letter from the certification body confirming extension of certification as well as the original certificate

❗ The document you upload must include the location within the scope of the certification

Certification standard

[   ]

Awarding body

[   ]

Certificate number

[   ]

Valid until

[Day ▼] [Month ▼] [Year ▼]

Please upload relevant document (pdf, image) (up to 15mb)

[Choose File] No file selected

○ Yes, we have a nationally recognized certified management system

Documents we accept

We will accept any national certificate standards and will aim to verify the certificate with the relevant awarding body.

If you are waiting for your new certificate, please upload letter from the certification body confirming extension of certification as well as the original certificate.

Certification standard

[   ]

Awarding body

[   ]

Guidance

(ref:12) An energy management system is a systematic process for continually improving energy performance and maximizing energy savings. A management system can be developed internally or in accordance with national or international standards. Certified management systems provide enhanced assurance to stakeholders that a company is committed to operate business in a sustainable manner and has implemented all the necessary processes. While the SAQ also recognizes internally developed management systems, the highest score is achieved if a management system is certified according to internationally recognized standards.

Relevant internationally accepted certification standard:

- **ISO 50001 - Energy Management**

(ref:13) Renewable energy sources are inexhaustible energy sources replenished naturally over time. The following energy sources can be classified as renewable:

- Wind
- Solar
- Hydro
- Biomass
- Geothermal
- Marine

(ref:15) According to the Greenhouse Gas Protocol, a key component of effective Greenhouse Gas (GHG) management is setting a GHG emission reduction target and tracking performance against the target. Emission reduction targets could cover:

- Scope 1 - Direction company emissions related to burning fossil fuel on-site;
- Scope 2 - Indirect company emissions related to the production of purchased electricity, heat or steam;
- Scope 3 - Indirect company emissions related to your company's value chain activities, including upstream and downstream emissions.

Certificate number

[   ]

Valid until

[Day   ▼] [Month   ▼] [Year   ▼]

Please upload relevant document (pdf, image) (up to 15mb)

[Choose File] No file selected

◯　Yes, but the system is uncertified

Documents we accept

- Employee handbook if it covers relevant issues
- Energy management system manual
- Screenshot of internal management system if it shows there is a clear link to a designated management system
- Process flow showing relevant procedures
- Audit report or audit corrective action plan
- Carbon Trust Report
- Evidence of energy assessment and improvement

Please note: We do not accept policy documents as evidence of an uncertified management system.

❗ The document you upload must be in a supported language (English, French, Spanish, German, Mandarin Chinese, Brazilian Portuguese, Japanese or Italian).

Please upload relevant document (pdf, image) (up to 15mb)

[Choose File] No file selected

◯　No

13. What percentage of **electricity** used at your site in the last calendar year came from renewable sources?

[   ]

Documents we accept

- Invoices of energy consumption and/or certificates
- Evidence of green electricity tariffs
- Energy contract if it covers renewable energy source
- Green power purchase agreement (PPA)
- Renewable energy certificate (REC)
- Other documents that evidence that your electricity comes from renewable sources

Please upload relevant document (pdf, image) (up to 15mb)

[Choose File] No file selected

14. What percentage of **heating/cooling** used at your site in the last calendar year came from renewable sources?

[   ]

Documents we accept

- Invoices of energy consumption and/or certificates
- Evidence of green energy tariffs
- Energy contract if it covers renewable energy source
- Green power purchase agreement (PPA)
- Renewable energy certificate (REC)
- Other documents that evidence that your heating/cooling comes from renewable sources

Please upload relevant document (pdf, image) (up to 15mb)

Choose File No file selected

---

15. Does your company set Greenhouse Gas reduction targets?

► Greenhouse Gas reduction targets

Companies may set a variety of GHG reduction targets, including:

- A single target for all of their emissions (total scope 1 + scope 2 + scope 3 emissions)
- A single target for their total scope 3 emissions
- A combination of targets, for example a target for total scope 1 + 2 + 3 emissions as well as targets for individual scope 3 categories.

◯ Yes

Documents we accept

- A report that includes reduction targets
- Screenshot of intranet showing reduction targets
- Screenshot of website showing reduction targets
- Other documents that evidence your greenhouse gas emission reduction targets

Please upload relevant document (pdf, image) (up to 15mb)

Choose File No file selected

◯ No

15a. Are the targets Science Based Targets Initiative (SBTi) approved?

► GHG reduction target initiatives

There are several initiatives that support companies in setting and validating their GHG emission reduction targets, such as the Science-Based Targets initiative, SME Climate Hub and Race to Zero. The initiatives set out criteria that companies need to meet in order to contribute to the Paris Agreement's goal to achieve net zero emissions by 2050.

◯ Yes

! **We will check whether your targets have been approved with the Science Based Targets initiative (SBTi)**

Please provide the International Securities Identification Number (ISIN) associated with your approved SBTi targets (optional)

ISIN is a 12-digit alphanumeric code. Example: AB1234567CD8.

[   ]

○ No, but in accordance with other standards (SME Climate Hub, Race to Zero, or equivalent)

○ No

15b. Does your company have emission reduction targets for your upstream supply chain emissions (scope 3)?

▶ Scope 3 emissions

> Scope 3 - Indirect company emissions related to your company's value chain activities, including upstream and downstream emissions.

○ Yes

Documents we accept

- A report that includes scope 3 reduction targets
- Screenshot of intranet showing scope 3 reduction targets
- Screenshot of website showing scope 3 reduction targets
- Other documents that evidence your scope 3 greenhouse gas emission reduction targets

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

○ No

Responding

16. Does your site use any **substances with restrictions** under any national or international statutory provision in production or operations? (5.85%)

► Restricted substances

Restrictions are a tool to protect human health and the environment from unacceptable risks posed by chemicals. Restrictions may limit or ban the manufacture, placing on the market or use of a substance. A restriction applies to any substance on its own, in a mixture or in an article, including those that do not require registration. It can also apply to imports.

Examples of hazardous (restrictive) substances include but are not limited to: Chrom6, lead, AZO dyes, DMF, PAHs, Phthalates, PFOS, nickel release.
Source: European Chemicals Agency

Examples of regulations on restricted substances and chemical handling:

REACH (Registration, Evaluation, Authorisation, and Restriction of Chemicals) is a European Union Regulation addressing the production and use of chemical substances, and their potential impact on both human health and the environment. The regulation defines and includes substances, preparations and articles. Manufacturers and importers are required to gather information on the properties of their chemical substances and to register the information in a central database run by the European Chemicals Agency.

RoHS (Restriction of Hazardous Substances) or the Restriction of the Use of Certain Hazardous Substances in Electrical and Electronic Equipment Directive (2011/65/EU) bans the placing on the EU market of new electrical and electronic equipment containing more than the agreed levels of lead, cadmium, mercury and other substances.

ELV 2000/53/EC lays down measures which aim at the prevention of waste from vehicles and, in addition, at the reuse, recycling and other forms of recovery of end-of life vehicles and their components so as to reduce the disposal of waste, as well as at the improvement in the environmental performance of all of the economic operators involved in the life cycle of vehicles and especially the operators directly involved in the treatment of end-of life vehicles.

The Minamata Convention on Mercury regulates the use of mercury. The production of mercury-added products is permitted under the exceptions of Annex A, under registered exceptions, or if there is an alternative strategy for the product reported to the Conference of Parties by a country (Art. 4(2) lit. a). The use of mercury (compounds) in manufacturing processes is permitted under Annex B or under registered exceptions (Art. 5(2) and Art. 6). The Convention also addresses interim storage of mercury and its disposal once it becomes waste, sites contaminated by mercury as well as health issues. Mercury waste must be treated according to Art. 11(3).

The Stockholm Convention on Persistent Organic Pollutants regulates the use of POPs. The Convention requires its parties to take measures to eliminate or reduce the release of POPs into the environment. The production and use are permitted for laboratory-scale research or as reference standard (Art. 3(5)), under the exceptions of Annex I, under the grace period of Art. 4(2) Sentence 1 Regulation (EU) 2019/1021, or under Annex I, part B Regulation (EC) No. 850/2004. The handling, collection, storage, and disposal is permitted under Art. 6.

The Basel Convention prohibits the import and export of hazardous waste from and to third party countries and some of the party countries. In addition to the provisions of the convention, Council Directive 91/689/EEC must be taken into account when defining hazardous waste.

◯ Yes

◯ No

Responding

16a. Does your site have written **procedures to manage substances with restrictions** under any regulations?

► Procedures to manage substances with restrictions

> Regardless of the size of the company, or industry in which it operates, procedures for managing restricted substances must demonstrate adherence to local law and guidelines.

◯ Yes

Documents we accept

- Management system manual contents page showing relevant procedures
- Safety data sheet
- Proof of registration with the European Chemicals Agency (ECHA)
- Process flow showing relevant procedures
- Restricted substances policy
- Material Safety Data Sheet (MSDS)

The following third party certificates if the scope covers the location in question:

- REACH or RoHS Compliance Certificate
- ISO 14001 (if the scope covers restricted substances)
- EMAS (if the scope covers restricted substances)
- RC 14001 (which includes RCMS)
- IECQ HSPM certification/ IECQ specification QC 080000
- SQAS (Safety and Quality Assessment System)

! **The document you upload must be in a supported language (English, French, Spanish, German, Mandarin Chinese, Brazilian Portuguese, Japanese or Italian).**

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

◯ No

16b. Which of the following areas are covered by these written procedures?
Please tick all that apply.

☐ The manufacture of mercury-added products, the use of mercury and mercury compounds in manufacturing processes and the treatment of mercury waste
Reference to the Minamata Convention

☐ The production and use of Persistent Organic Pollutants
Reference to the Stockholm Convention on Persistent Organic Pollutants

☐ The handling, collection, storage and disposal of waste of Persistent Organic Pollutants
Reference to the Stockholm Convention on Persistent Organic Pollutants

☐ The export of hazardous waste
Reference to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal

☐ **The import of hazardous and other wastes**
Reference to the Basel Convention on the Control of Transboundary Movements
of Hazardous Wastes and their Disposal

☐ **Other**

If other, please specify.

```
┌─────────────────────────────────────────────┐
│                                             │
│                                             │
└─────────────────────────────────────────────┘
```

Responding

17. Does your company have a current **CDP score**?

◯   Yes

Please upload relevant document (pdf, image) (up to 15mb)

Choose File	No file selected

◯   No

17a. Please specify your CDP score related to **Climate Change**

Score

[   ]

Year

[Year   ▼]

17b. Please specify your CDP score related to **Water**

Score

[   ]

Year

[Year   ▼]

17c. Please specify your CDP score related to **Forest**

Score

[   ]

Year

[Year   ▼]

Guidance

CDP uses a scoring methodology to incentivize companies to measure and manage environmental impacts through participation in CDP's climate change, water, forests and supply chain programs. Each of CDP's questionnaires (Climate change, Water and Forests) has an individual scoring methodology.

Responding

F. Responsible Supply Chain Management

18. Does your company have set **CSR/Sustainability** requirements towards suppliers? (10.04%)

► CSR requirements for suppliers

> CSR/sustainability requirements for suppliers are often set out in either a specific supplier code of conduct document or a company conduct document which applies to both internal employees as well as external business partners, such as suppliers. The objective, through these CSR requirements, should be to promote healthy working conditions, human rights, and environmental responsibility throughout the entire supply chain.

◯ Yes

Documents we accept

- Supplier sustainability policy
- CSR/Sustainability policies that include reference to supplier adherence
- Supplier code of conduct which specifically references supplier adherence
- General purchasing agreement which applies to suppliers and references sustainability

❗ The document you upload must include your company name or logo and it must be in a supported language (English, French, Spanish, German, Mandarin Chinese, Brazilian Portuguese, Japanese or Italian).

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

◯ No

18a. Which areas are covered by these **CSR/Sustainability** requirements? Please tick all that apply.

❗ If the document you upload does not cover all the policy areas that you select below, gaps will be raised during the validation process. You will not receive a score for policy areas that are not covered in the document.

► Human rights and working conditions

> Human rights expectations require suppliers and their supply chain to maintain and protect human rights.

☐ Child labor and young workers

☐ Wages and benefits

☐ Working hours

☐ Modern slavery (i.e. slavery, servitude and forced or compulsory labor and human trafficking)

- [ ] Ethical recruiting

- [ ] Freedom of association and collective bargaining

- [ ] Non-discrimination and harassment

- [ ] Women's Rights

- [ ] Diversity, equity, and inclusion

- [ ] Rights of minorities and indigenous peoples

- [ ] Land, forest and water rights and forced eviction

- [ ] Use of private or public security forces

► Health and safety

Health and safety expectations require suppliers and their supply chain to comply with regulation maintaining safe working environments.

- [ ] Health and safety

► Business ethics

Business ethics expectations require suppliers and their supply chain to be transparent, responsible and ethically compliant in their activities.

- [ ] Anti-corruption and anti-money laundering

- [ ] Data protection and data security

- [ ] Financial responsibility (Accurate Records)

- [ ] Disclosure of information

- [ ] Fair competition and anti-trust

- [ ] Conflicts of interest

- [ ] Counterfeit parts

- [ ] Intellectual property

- [ ] Export controls and economic sanctions

- [ ] Whistleblowing and protection against retaliation

► Environment

Environmental expectations require suppliers and their supply chain to be responsible and take account for their environmental impact.

- [ ] GHG emissions

☐ Energy efficiency

☐ Renewable energy

☐ Decarbonization

☐ Water quality, consumption & management

☐ Air quality

☐ Responsible chemical management

☐ Sustainable resources management

☐ Waste reduction

☐ Reuse and recycling

☐ Animal welfare

☐ Biodiversity, land use and deforestation

☐ Soil quality

☐ Noise emissions

☐ Other areas

Please specify

☐ Upstream supplier management

> Upstream supplier management refers to enforcing sustainability requirements in the entire supply chain, i.e. making sure that suppliers also have established CSR/sustainability requirements for their own suppliers.

☐ Definition and implementation of similar standards towards own tier-1 suppliers

☐ Binding requirements towards tier-1 suppliers to pass on standards along the supply chain

Responding

18b. Does your company use any of the following channels to communicate its **Supplier CSR/Sustainability** requirements to your suppliers? Please tick all that apply.

☐ Included in terms and conditions

Documents we accept

- Supplier terms and conditions which references sustainability
- General purchasing agreement which applies to suppliers and references sustainability

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

☐ Supplier training

Documents we accept

- E-learning screenshots
- Training materials e.g. slide deck presentations
- Other documents that evidence you plan or deliver training related to the topic area

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

☐ Supplier code of conduct/supplier sustainability policy

Documents we accept

- Supplier sustainability policy
- CSR/Sustainability policies that include reference to supplier adherence
- Supplier code of conduct which specifically references supplier adherence

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

☐ Company website/supplier portal

Documents we accept

- Screenshot of supplier portal which references sustainability
- Screenshot of website which references supplier sustainability requirements

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

☐ None

18c. Which processes does your company have in place to review if suppliers fulfill your sustainability requirements? Please tick all that apply.

► Supplier monitoring processes

If a company sets requirements for their suppliers, they must have provisions to monitor the implementation of these requirements within the business operations of their supplier. Supplier monitoring provides information and identifies areas for collaborative positive improvements. This can be achieved through:

- A 3rd party audit is an external audit performed by independent organizations such as registrars (certification bodies) or regulators.
- A 2nd party audit is an external audit performed by customers or by others on their behalf. It can also be done by regulators or any external party that has a formal interest in an organization.
- A self-assessment questionnaire (SAQ) may be used to assess CSR and Sustainability activities of a supply chain, and identify potential improvements.

☐ 3rd party audits conducted by a certified audit body

Documents we accept

- Third party audit report
- Third party certificates
- Letter from third party audit company referring to the audits
- Other documents that evidence you undertake third party audits

Please upload relevant document (pdf, image) (up to 15mb)

[Choose File] No file selected

☐ 2nd party audits conducted by your company

Documents we accept

- Second party audit report
- Other documents that evidences your company plans to or undertakes audits of your suppliers

Please upload relevant document (pdf, image) (up to 15mb)

[Choose File] No file selected

☐ Self-assessment questionnaire

Documents we accept

- A self-assessment questionnaire
- Details of online monitoring system or documentation which refers to a supplier self-assessment process
- SUPPLIER**ASSURANCE** customer letter

Please upload relevant document (pdf, image) (up to 15mb)

[Choose File] No file selected

☐ None

19. Does your company perform sustainability risk assessments as part of the due diligence activities?

○ Yes

○ No

19a. What is the scope of the risk assessment? Please tick all that apply.

☐   Own business area

☐   Direct suppliers (Tier 1)

☐   Indirect suppliers (Tier n)

19b. How often does your company conduct risk assessments?

○   Yearly

○   Every 2 years

○   Ad hoc when we expect the risk situation to change significantly

○   Ad hoc when we know that there might be a violation, e.g. from a complaint

○   Other

Responding

G. Responsible Sourcing of Raw Materials

20. Are any of the following materials contained in your products? Please tick all that apply. (4.38%)

- [ ] Aluminum/Bauxite
- [ ] Chromium
- [ ] Cobalt
- [ ] Copper
- [ ] Cotton
- [ ] Glass (silica sand)
- [ ] Gold
- [ ] Graphite (natural)
- [ ] Leather
- [ ] Lithium
- [ ] Magnesium
- [ ] Manganese
- [ ] Mica
- [ ] Molybdenum
- [ ] Nickel
- [ ] Niobium
- [ ] Palladium
- [ ] Platinum
- [ ] Polysilicon
- [ ] Rare Earth Elements
- [ ] Rhodium

☐ Natural Rubber

☐ Steel/ Iron

☐ Tantalum

☐ Tin

☐ Tungsten

☐ Zinc

☐ None

Responding

20a. Does your company have a policy for the **responsible sourcing of these raw materials**?

▶ Responsible sourcing of raw materials

> A responsible raw materials policy is a document showing a company's commitment, agreed upon by senior management, to the sustainable and ethical procurement of raw materials. Raw materials are primary commodities that are used to manufacture products. Companies that provide products containing raw materials are expected to conduct due diligence to understand the source of the raw materials used in their products.
>
> Companies are expected to:
>
> - ensure not to contribute to human rights abuses, bribery and ethics violations, or negatively impact the environment.
> - use validated conflict free smelters and refiners for procurement of tin, tungsten, tantalum and gold contained in the products they produce
>
> Reference: The Responsible Minerals Initiative
> For more information on priority materials, producer countries, and associated environmental, social, and governance issues please refer to the Raw Materials Outlook and the Material Change report.

◯ Yes

Documents we accept

- Policy that covers responsible sourcing of raw materials e.g. responsible sourcing/procurement policy
- Conflict minerals statement/policy
- Supplier code of conduct that covers responsible sourcing of raw materials
- CSR/sustainability policy that covers responsible sourcing of raw materials
- Agreement/purchasing documents holding information on responsible raw materials sourcing

! **The document you upload must include your company name or logo and it must be in a supported language (English, French, Spanish, German, Mandarin Chinese, Brazilian Portuguese, Japanese or Italian).**

Please upload relevant document (pdf, image) (up to 15mb)

| Choose File | No file selected |

◯ No

20a.1. Which of the following materials are covered by this policy? Please tick all that apply.

☐ Aluminum/Bauxite

☐ Chromium

☐ Cobalt

☐ Copper

☐ Cotton

☐ Glass (silica sand)

☐ Gold

☐ Graphite (natural)

☐ Leather

☐ Lithium

☐ Magnesium

☐ Manganese

☐ Mica

☐ Molybdenum

☐ Nickel

☐ Niobium

☐ Palladium

☐ Platinum

☐ Polysilicon

☐ Rare Earth Elements

☐ Rhodium

☐ Natural Rubber

☐ Steel/ Iron

☐ Tantalum

☐ Tin

☐ Tungsten

☐ Zinc

20b. Does your company participate in raw material specific initiative(s)?

◯ Yes

Please upload relevant document (pdf, image) (up to 15mb)

Choose File	No file selected

○ No

20c. Does your company have a company-scope **Conflict Minerals Reporting Template (CMRT)**?

▶ Scope Guidance

> The Conflict Minerals Reporting Template (CMRT) is a free, standardised reporting template developed by the Responsible Minerals Initiative (RMI) that facilitates the transfer of information through the supply chain regarding mineral country origin and the smelters and refiners being used.

○ Yes

Please complete and upload a CMRT template, using the latest version from the RMI website

Choose File	No file selected

○ No
  Please complete and upload a CMRT template, using the latest version from the RMI website

20d. Does your company have a company-scope **Extended Minerals Reporting Template (EMRT)**?

▶ Scope Guidance

> The Extended Minerals Reporting Template (EMRT) is a free, standardized reporting template developed by the Responsible Minerals Initiative (RMI) to identify pinch points and collect due diligence information in the cobalt and mica supply chains.

○ Yes

Please complete and upload an EMRT template, using the latest version from the RMI website

Choose File	No file selected

○ No
  Please complete and upload an EMRT template, using the latest version from the RMI website

Responding

21. Does your company have a responsible sourcing raw materials management system or undertake supply chain mapping? (1.46%)

◯ Yes

Documents we accept
• Management system that covers responsible sourcing of raw materials • Raw materials sourcing manual outlining processes and procedures • Screenshot of internal management system • Raw materials sourcing report • Evidence of supply chain mapping initiative or report

Please upload relevant document (pdf, image) (up to 15mb)

Choose File	No file selected

◯ No

Responding

H. Additional Information

22. Please use the space below to provide additional information (e.g. comments regarding policy, timing for certification, etc.).

Please note that information entered in this text field will be visible to all buyers who have access to this SAQ. You should not therefore include any buyer specific information.

Additional information

Responding

I. Sign Off

You have almost reached the end of SAQ 5.0. **Please note your questionnaire will not be reviewed and validated until you submit your questionnaire and have shared it with a buyer.**

To submit this SAQ for validation click 'Submit' at the bottom of this page. If you need help sharing your SAQ, please use the Live Chat service to contact our Service Centre.

What happens next?

After you have submitted your SAQ, the SUPPLIER **ASSURANCE** team will review the evidence that you have uploaded to ensure that the documents are acceptable and cover the answers that you have selected.

Once your SAQ answers and evidence have been reviewed, you will be notified by email of the results. You can then view your score, any gaps that may be identified in the evidence that you uploaded or any recommendations for improvement. You will also have the option to update your SAQ to address any gaps or demonstrate improvement in your sustainability performance.

SAQ 5.0 Rating

Question	Answers	Sustainability Score
1.		0.00%
		0.00%
1a.		0.93%
		0.00%
1b.		0.93%
		0.00%
1c.		0.93%
		0.00%
1d.		0.93%
		0.00%
Max score for indicator		3.72%
2.		3.00%
		3.00%
		1.50%
		0.00%
Max score for question		3.00%
2a.		0.19%
		0.19%
		0.00%
Max score for question		0.19%
2b.1.		0.06%
		0.06%
		0.06%
		0.00%
Max score for question		0.18%
2b.2.		0.06%
		0.06%
		0.06%
		0.00%
Max score for question		0.18%

2c.		0.19%
		0.00%
Max score for question		0.19%
Max score for indicator		3.74%
3.		6.00%
		0.00%
Max score for question		6.00%
3a.		4.00%
		2.00%
		0.00%
Max score for question		4.00%
Max score for indicator		10.00%
4.		3.00%
		0.00%
Max score for question		3.00%
4a.		0.02%
		0.02%
		0.02%
		0.02%
		0.02%
		0.02%
		0.02%
		0.02%
		0.02%
		0.02%
		0.02%
		0.02%
		0.00%
Max score for question		0.22%
4b.		0.06%
		0.06%
		0.06%
Max score for question		0.18%
4c.		0.09%

	0.09%
	0.00%
Max score for question	0.18%
4d.	0.06%
	0.06%
	0.00%
	0.00%
	0.00%
	0.00%
	0.06%
	0.00%
Max score for question	0.18%
Max score for indicator	3.76%
5.	0.00%
	0.00%
5a.	0.29%
	0.29%
	0.29%
	0.29%
	0.29%
	0.29%
	0.29%
	0.29%
	0.29%
	0.29%
	0.29%
	0.29%
Max score for question	3.48%
5b.	2.33%
	1.17%
	0.00%
Max score for question	2.33%
Max score for indicator	5.81%

6.		10.00%
		7.50%
		5.00%
		0.00%
Max score for indicator		**10.00%**
7.		0.00%
		0.00%
7a.		0.50%
		0.50%
		0.50%
		0.50%
		0.50%
		0.50%
		0.50%
Max score for question		**3.50%**
7b.		2.33%
		1.17%
		0.00%
Max score for question		**2.33%**
Max score for indicator		**5.83%**
8.		10.00%
		7.50%
		5.00%
		0.00%
Max score for indicator		**10.00%**
9.		0.00%
		0.00%
9a.		0.35%
		0.35%
		0.35%
		0.35%
		0.35%
		0.35%

		0.35%
		0.35%
		0.35%
		0.35%
Max score for question		**3.50%**
9b.		2.33%
		1.17%
		0.00%
Max score for question		**2.33%**
Max score for indicator		**5.83%**
10.		0.00%
		0.00%
10a.		0.25%
		0.25%
		0.25%
		0.25%
		0.25%
		0.25%
		0.25%
		0.25%
		0.25%
		0.25%
		0.25%
		0.25%
		0.25%
		0.25%
		0.00%
Max score for question		**3.50%**
10b.		2.33%
		1.17%
		0.00%
Max score for question		**2.33%**
Max score for indicator		**5.83%**

11.		10.00%
		8.00%
		6.00%
		0.00%
Max score for indicator		10.00%
12.		3.75%
		2.81%
		1.88%
		0.00%
Max score for indicator		3.75%
13.		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
Max score for indicator		0.00%
14.		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
		0.00%

	0.00%
	0.00%
	0.00%
Max score for indicator	**0.00%**
15.	0.00%
	0.00%
15a.	0.00%
	0.00%
	0.00%
Max score for question	**0.00%**
15b.	0.00%
	0.00%
Max score for question	**0.00%**
Max score for indicator	**0.00%**
16.	0.00%
	5.83%
Max score for question	**5.83%**
16a.	5.83%
	0.00%
Max score for question	**5.83%**
16b.	0.00%
	0.00%
	0.00%
	0.00%
	0.00%
	0.00%
Max score for question	**0.00%**
Max score for indicator	**5.83%**
17.	0.00%
	0.00%
17a.	0.00%
	0.00%

		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
Max score for question		0.00%
17b.		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
Max score for question		0.00%
17c.		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
		0.00%
Max score for question		0.00%
Max score for indicator		0.00%
18.		0.00%
		0.00%
18a.		0.08%
		0.08%
		0.08%
		0.08%
		0.08%

	0.08%
	0.08%
	0.08%
	0.08%
	0.08%
	0.08%
	0.08%
	1.00%
	0.10%
	0.10%
	0.10%
	0.10%
	0.10%
	0.10%
	0.10%
	0.10%
	0.10%
	0.07%
	0.07%
	0.07%
	0.07%
	0.07%
	0.07%
	0.07%
	0.07%
	0.07%
	0.07%
	0.07%
	0.07%
	0.07%
	0.07%

	0.50%
	0.50%
Max score for question	5.00%
18b.	1.00%
	0.70%
	0.50%
	0.30%
	0.00%
Max score for question	2.50%
18c.	1.00%
	1.00%
	0.50%
	0.00%
Max score for question	2.50%
Max score for indicator	10.00%
19.	0.00%
	0.00%
19a.	0.00%
	0.00%
	0.00%
Max score for question	0.00%
19b.	0.00%
	0.00%
	0.00%
	0.00%
	0.00%
Max score for question	0.00%
Max score for indicator	0.00%
20.	0.00%
	0.00%
	0.00%
	0.00%
	0.00%

	0.00%
	0.00%
	0.00%
	0.00%
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	0.00%
	0.00%
	0.00%
	0.00%
	4.37%
Max score for question	**4.37%**
20a.	4.37%
	0.00%
Max score for question	**4.37%**
20a.1	0.00%
	0.00%
	0.00%
	0.00%
	0.00%
	0.00%

	0.00%
	0.00%
	0.00%
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	0.00%
	0.00%
	0.00%
	0.00%
Max score for question	**0.00%**
20b.	0.00%
	0.00%
Max score for question	**0.00%**
20c.	0.00%
	0.00%
Max score for question	**0.00%**
20d.	0.00%
	0.00%
Max score for question	**0.00%**
Max score for indicator	**4.37%**

21.	1.46%
	0.00%
Max score for question	1.46%
Max score for indicator	1.46%