

Global Compact Self Assessment Tool

The Global Compact Self Assessment Tool consists of 45 questions. For each question there are a list of indicators.

Step 1: look at each of the indicators, which will help you answer the question

Step 2: based on your answers to the indicators, decide on your answer to the question.

Write a comment or follow-up action explaining your choice.

The list of questions is shown in the overview. The indicators can be found in the separate tabs human rights, labour, environment and anti-corruption. Further information about the questions and indicators can be found at www.globalcompactselfassessment.org

What do the answer categories mean?

Yes/No a “no” answer requires follow up action. Please describe the action that will be

F/A (Further attention required) you can use this option when the company is in the process of or is planning to address the issue. Please write a comment or follow-up

N/A (Not applicable) use this option if the question or indicator isn't relevant for your

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FULL RESULTS

[COMPANY NAME]

2015-06-05

| MANAGEMENT | | | YES | NO | F/A | N/A | COMMENTS AND FOLLOW-UP ACTION |
|--------------------------------|-------|--|----------|----------|----------|----------|-------------------------------|
| ASSESS | MA.1 | Does the company comply with all relevant regulation on issues covered by the Global Compact principles? | | | | | |
| | MA.2 | Does the company identify and assess the risk, opportunity and impact of its operations on issues covered by the Global Compact principles? | | | | | |
| DEFINE | MA.3 | Does the company have a policy statement in line with the Global Compact principles? | | | | | |
| IMPLEMENT | MA.4 | Do the company's decision-making processes and management systems include issues covered by the Global Compact Principles? | | | | | |
| | MA.6 | Does the company promote issues covered by the Global Compact principles in its interactions with suppliers and business partners? | | | | | |
| | MA.7 | Does the company positively contribute to community development? | | | | | |
| | MA.8 | Does the company have a trusted procedure for hearing, processing and settling internal and external concerns/complaints? | | | | | |
| COMMUNICATE | MA.9 | Does the company communicate progress on the Global Compact principles with stakeholders? | | | | | |
| HUMAN RIGHTS | | | YES | NO | F/A | N/A | COMMENTS AND FOLLOW-UP ACTION |
| HEALTH AND SAFETY | HU.1 | Does the company ensure that its workers are provided safe, suitable and sanitary work facilities? | | | | | |
| | HU.2 | Does the company ensure that workers are provided with the protective equipment and training necessary to perform their tasks safely? | | | | | |
| | HU.3 | Does the company actively involve workers in health and safety work? | | | | | |
| HOURS, WAGES AND LEAVE | HU.4 | Does the company ensure that the workweek is limited to 48 hours; that overtime is infrequent and limited; and that workers are given reasonable breaks and rest periods? | | | | | |
| | HU.5 | Does the company provide a living wage that enables workers to meet the basic needs of themselves and their dependents? | | | | | |
| | HU.6 | Does the company ensure that workers are paid holiday leave, sick leave, and parental leave in accordance with international minimum standards? | | | | | |
| FAIR TREATMENT | HU.7 | Does the company ensure that all workers have an official employment status? | | | | | |
| | HU.8 | Does the company protect workers from workplace harassment including physical, verbal, sexual or psychological harassment, abuse, or threats? | | | | | |
| COMMUNITY IMPACTS | HU.9 | Does the company respect the privacy of its employees whenever it gathers private information or monitors the workplace? | | | | | |
| | HU.10 | Before buying, renting, acquiring or otherwise accessing land or property, does the company ensure that all affected owners and users of the land or property, have been adequately consulted and compensated? | | | | | |
| | HU.11 | Does the company take steps to ensure that company security arrangements are in accordance with international principles for law enforcement and the use of force? | | | | | |
| PRODUCT STEWARDSHIP | HU.12 | Does the company engage with local communities on the actual or potential human rights impacts of its operations? | | | | | |
| | HU.13 | Does the company take steps to prevent risks to human rights arising from product defects or improper use or misuse of company products? | | | | | |
| COUNTRY RISK | HU.14 | Does the company seek to avoid involvement in human rights abuses owing to government or societal practices? | | | | | |
| LABOUR | | | YES | NO | F/A | N/A | COMMENTS AND FOLLOW-UP ACTION |
| FREEDOM OF ASSOCIATION | LA.1 | Does the company recognise the rights of its workers to freedom of association and to bargain collectively? | | | | | |
| | LA.2 | If independent trade unions are either discouraged or restricted, does the company enable workers to gather independently to discuss work-related problems? | | | | | |
| FORCED LABOUR | LA.3 | Does the company take all necessary measures to ensure that it does not participate in any form of forced or bonded labour? | | | | | |
| CHILD LABOUR | LA.4 | Does the company comply with minimum age standards? | | | | | |
| DISCRIMINATION | LA.5 | Does the company ensure that employment-related decisions are based on relevant and objective criteria? | | | | | |
| ENVIRONMENT | | | YES | NO | F/A | N/A | COMMENTS AND FOLLOW-UP ACTION |
| PRECAUTION | EN.1 | Does the company support a precautionary approach to environmental issues? | | | | | |
| | EN.2 | Does the company have emergency procedures in place to prevent and address accidents affecting the environment and human health? | | | | | |
| RESPONSIBILITY AND PERFORMANCE | EN.3 | Does the company take measures to reduce energy consumption and emissions of greenhouse gasses? | | | | | |
| | EN.4 | Does the company take measures to reduce water consumption and treat waste water? | | | | | |
| | EN.5 | Does the company take measures to prevent and reduce the production of waste and ensure responsible waste management? | | | | | |
| | EN.6 | Does the company prevent, reduce and treat air emissions? | | | | | |
| | EN.7 | Does the company prevent and reduce impacts on the surrounding environment from noise, odour, light and vibrations? | | | | | |
| | EN.8 | Does the company minimise the use and ensure safe handling and storage of chemicals and other dangerous substances? | | | | | |
| | EN.9 | Does the company prevent, minimise and remedy significant impacts on biodiversity? | | | | | |
| | EN.10 | Does the company ensure that natural resources are used in a sustainable manner? | | | | | |
| TECHNOLOGY | EN.11 | Does the company encourage the development and use of environmentally friendly technologies? | | | | | |
| ANTI-CORRUPTION | | | YES | NO | F/A | N/A | COMMENTS AND FOLLOW-UP ACTION |
| COMPANY CULTURE AND PROCEDURES | AC.1 | Does the company take a clear stand against corruption? | | | | | |
| | AC.2 | Does the company assess the risk of corruption when doing business? | | | | | |
| | AC.3 | Does the company ensure that relevant workers are properly trained? | | | | | |
| | AC.4 | Do the company's internal procedures support its anti-corruption commitment? | | | | | |
| | AC.5 | Does the company's anti-corruption initiative cover agents, intermediaries and consultants? | | | | | |
| JOINT ACTIONS | AC.6 | Does the company take joint actions with others to engage in and promote anti-corruption initiatives? | | | | | |
| TOTAL | | | 0 | 0 | 0 | 0 | |

| MANAGEMENT: ASSESS | | | | | | | |
|-------------------------|---|-----|----|-----|-----|----------|------------------|
| Question | Regulatory compliance | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| MA.1 | Does the company comply with all relevant regulation on issues covered by the Global Compact principles? | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company complies with all relevant local and national legislation related to issues covered by the Global Compact principles in the country in which it operates. This includes legislation relating to human rights, occupational health and safety, labour rights, environmental and anti-corruption. | | | | | | |
| b | The company has obtained the necessary permits and authorisations to operate from the relevant authorities. | | | | | | |
| c | The company has an ongoing dialogue with the relevant local/national authorities about any unsettled issues raised by the authorities e.g. following a site visit. | | | | | | |
| d | The company complies with international conventions and agreements relevant for the company operations and activities. | | | | | | |
| e | The company has a systematic approach in place to ensure it keeps informed of new regulations, e.g. using compliance monitoring processes and gap analysis. | | | | | | |
| | | | | | | | |
| Question | Assessment of risk, opportunity and impact | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| MA.2 | Does the company identify and assess the risk, opportunity and impact of its operations on issues covered by the Global Compact principles? | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company takes an integrated approach to identifying and assessing risk, opportunity and impact, taking into account human rights, occupational health and safety, labour rights, environmental and anti-corruption issues. | | | | | | |
| b | The company has processes in place to ensure periodic identification and assessment of the risk, opportunity and impact of its business operations and activities, based on a review of sound data and a deep understanding of emerging trends. | | | | | | |
| c | The company has a method for prioritising the most significant risks, opportunities and impacts, including the individuals who are most likely to be affected. | | | | | | |
| d | When designing new operations or activities, the assessment of risk, opportunity and impact is included. | | | | | | |
| e | The company ensures that all information on the potential risks, opportunities and impacts of its business operations are shared and accessible to potentially affected individuals or communities. | | | | | | |
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| MANAGEMENT: DEFINE | | | | | | | |
| Question | Policy | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| MA.3 | Does the company have a policy statement in line with the Global Compact principles? | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company has a written policy covering respect for human rights, occupational health and safety, labour rights, environmental and anti-corruption issues. | | | | | | |
| b | The company's policy has been approved by top management. | | | | | | |
| c | The company's policy includes a commitment to meeting local legal requirements and international standards. | | | | | | |
| d | The company's policy includes a commitment to making continuous improvements in performance. | | | | | | |
| e | The company's policy includes contributing to local community development. | | | | | | |
| f | The results of the assessment of risk, opportunity, and impact are reviewed by senior management and inform the development of company sustainability goals, strategies, and policies. | | | | | | |
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| MANAGEMENT: IMPLEMENT | | | | | | | |
| Question | Decision-making and management | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| MA.4 | Do the company's decision-making processes and management systems include issues covered by the Global Compact Principles? | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company has appointed a senior person(s) responsible for policies and plans related to issues covered by the Global Compact principles. | | | | | | |
| b | The company has defined and communicated roles and responsibilities with regard to issues covered by the Global Compact principles. | | | | | | |
| c | The company has documented procedures to enable decisions to be made regarding issues covered by the Global Compact principles. | | | | | | |
| d | The company prepares action plans describing the activities, time frames, responsibilities and means to address impacts and/or reach targeted improvements. | | | | | | |
| e | The company monitors its procedures and instructions to ensure they are applied correctly e.g. via internal audits. | | | | | | |
| f | The company can document continuous improvement of its performance e.g. via key performance indicators (KPIs). | | | | | | |
| g | The company promptly records, investigates and remediates any serious accidents or extraordinary impacts/events that occur. | | | | | | |
| h | The company has a company-wide management system that is certified by a third party and/or operates in accordance with sector specific codes and standards. | | | | | | |
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| Question | Worker involvement | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company's workers are familiar with the company policy covering the Global Compact principles. | | | | | | |
| b | Company workers are aware of the issues that are most significant for the company operations and activities, and know what is expected of them. | | | | | | |
| c | The company regularly trains workers involved in activities that have, or could have, adverse impacts to ensure they are aware of risks, requirements and agreed procedures. | | | | | | |
| d | Company workers are informed of progress towards objectives for issues relevant for the company operations and activities. | | | | | | |
| e | Workers are encouraged to suggest ways in which the company can improve its performance relating to issues covered by the Global Compact principles. | | | | | | |
| f | The company stimulates responsible behaviour using incentive schemes that include objectives on issues covered by the Global Compact principles. | | | | | | |
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| Question | Suppliers and business partners | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| MA.6 | Does the company promote issues covered by the Global Compact principles in its interactions with suppliers and business partners? | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company has defined minimum requirements and communicates these in writing to new and existing suppliers/vendors and business partners. | | | | | | |
| b | The company has policies and procedures for managing and monitoring the performance of suppliers and business partners. | | | | | | |
| c | The company has conducted an assessment to identify which of its suppliers and business partners have the greatest risk of negative impacts. | | | | | | |
| d | The company provides training on procedures and standards for relevant management and procurement staff. | | | | | | |
| e | The company's procurement practices, such as prices, delivery times and internal incentive structures, encourage improved standards at suppliers and business partners. | | | | | | |
| f | Where necessary, the company collaborates with individual suppliers and business partners to implement continuous improvements. | | | | | | |
| g | The company collaborates with other companies to promote improved standards amongst its suppliers and business partners. | | | | | | |
| | | | | | | | |
| Question | Community development | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| MA.7 | Does the company positively contribute to community development? | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company donates time, in-kind or financial contributions to the local community e.g. education and training, cultural and infrastructure development. | | | | | | |
| b | The company takes action to realise local and/or national development goals following consultations with the local community. | | | | | | |
| c | The company can demonstrate the impacts of its contribution and how these are aligned to the company's core and strategic issues. | | | | | | |
| d | The company take action in support of broader UN goals and issues, such as the UN Millennium Development Goals (MDGs) on combatting HIV, promoting education and women's rights. | | | | | | |
| e | The company seeks to contribute to community development by entering partnerships with a range of stakeholders, including UN agencies, governments, civil society, labour, and other non-business interests. | | | | | | |
| | | | | | | | |
| Question | Grievance mechanisms | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| MA.8 | Does the company have a trusted procedure for hearing, processing and settling internal and external concerns/complaints? | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company has a written procedure for how concerns and complaints are received, processed and settled. | | | | | | |
| b | Information about how to use the procedure; what concerns/complaints can be reported; and how concerns/complaints are processed and resolved, is clear and easily accessible. | | | | | | |
| c | Workers, including temporary and contract workers, can submit concerns/complaints regarding the company's activities and impact without threat of retaliation by management or other workers. | | | | | | |
| d | Customers and external stakeholders can submit concerns/complaints regarding the company's activities and impact without threat of retaliation by company management. | | | | | | |
| e | Individuals or representatives of the local community can submit concerns/complaints regarding the company's activities and impact without threat of retaliation by the company. | | | | | | |
| f | There is a committee responsible for hearing, processing, and settling concerns/complaints, and includes representatives of the concerned/complaining party in the committee. This could be workers, community or consumer representatives. | | | | | | |
| g | A worker lodging a concern or complaint is allowed to participate in hearings held with respect to that concern/complaint and is informed of the outcome of the resolution process. | | | | | | |
| | | | | | | | |
| MANAGEMENT: COMMUNICATE | | | | | | | |
| Question | Stakeholders | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| MA.9 | Does the company communicate progress on the Global Compact principles with stakeholders? | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company identifies stakeholders who affect or can be affected by the company's activities, products and services e.g. a person, group, organisation, authority. | | | | | | |
| b | The company communicates progress openly about how issues covered by the Global Compact principles are managed, including performance results as well as forward-looking information on strategy and management approach, challenges, and dilemmas. | | | | | | |
| c | The company regularly engages in dialogue with stakeholders to keep up-to-date with stakeholder expectations. | | | | | | |
| d | The company communicates openly about how issues covered by the Global Compact principles are managed including challenges, dilemmas, success and failures. | | | | | | |
| e | The company's communication on progress and other performance reporting on issues covered by the Global Compact principles is publicly available and communicated to external stakeholders e.g. via the company's and Global Compact website. | | | | | | |

| LABOUR: FREEDOM OF ASSOCIATION | | | | | | | |
|--------------------------------|---|-----|----|-----|-----|----------|------------------|
| Question | Association and bargaining | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| LA.1 | Does the company recognise the rights of its workers to freedom of association and to bargain collectively? | | | | | | |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| la.1.a | The company has a commitment to recognise the rights of its workers to freedom of association and collective bargaining, including the right to freely form and/or join independent trade unions, and this commitment is clearly communicated to all employees. | | | | | | |
| la.1.b | The company recognises workers' organisations for collective bargaining purposes and has procedures in place to ensure regular collective bargaining with authorised worker representatives concerning all workplace related issues. | | | | | | |
| la.1.c | The company allows worker representatives access to collective bargaining agreements, company premises, employees and other relevant documentation needed to fulfil their duties. | | | | | | |
| la.1.d | The company prohibits discrimination or adverse actions against worker representatives or employees for participating or refraining to participate in lawful trade union activities. | | | | | | |
| la.1.e | The company has agreed with workers' representatives about the requirements of a fair hearing to be followed in relation to all disciplinary cases and employee grievances. | | | | | | |
| la.1.f | The company has a committee, with participation of employee-elected representatives, which is responsible for hearing, processing, and settling disciplinary cases and employee grievances. | | | | | | |
| | | | | | | | |
| Question | Company-level representation | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| LA.2 | If independent trade unions are either discouraged or restricted, does the company enable workers to gather independently to discuss work-related problems? | | | | | | |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| la.2.a | The company allows employees to engage in regular employee-only meetings within normal working hours, where employees can discuss concerns regarding working conditions. | | | | | | |
| la.2.b | Where allowed by local legislation, and if independent trade unions are not present, the company informs employees of their right to form independent collective representation at the workplace. | | | | | | |
| la.2.c | Where allowed by local legislation, the company informs workers of their right to engage in regular collective bargaining concerning all workplace issues. | | | | | | |
| la.2.d | Company management meets regularly with worker representatives to discuss work-related problems and any concerns/complaints employees may wish to raise. | | | | | | |
| | | | | | | | |
| LABOUR: FORCED LABOUR | | | | | | | |
| Question | Forced and compulsory labour | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| LA.3 | Does the company take all necessary measures to ensure that it does not participate in any form of forced or bonded labour? | | | | | | |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | Workers can give notice and leave employment within a reasonable length of time. This is clearly communicated to workers prior to starting employment. | | | | | | |
| b | The company (or its recruitment agencies) ensures that it does not withhold wages or bonuses and that it pays them in a timely and regular manner. | | | | | | |
| c | The company ensures it does not make deductions from wages for disciplinary measures or other deductions not authorised by national law. | | | | | | |
| d | Within normal working hours workers are able to earn a living wage sufficient to meet the basic needs of themselves and their closest dependents. | | | | | | |
| e | Overtime work is paid, voluntary and not compelled through threat of pay deductions, termination or other sanctions. | | | | | | |
| f | The company (or its recruitment agencies) ensures that it does not retain identity cards, passports, travel documents or other personal items without which workers cannot leave employment. If letters of release or other documents are needed for the worker to leave employment, such letters are issued without delay. | | | | | | |
| g | All workers are allowed to leave company premises during breaks and at the end of their shifts, and workers in company housing may freely enter and exit their accommodation at any time. | | | | | | |
| h | The company (or its recruiting agencies) ensures that it does not require workers to pay recruitment fees or lodge money deposits. | | | | | | |
| i | Loans or salary advancements to workers are based on fair terms that are clearly explained to the worker, are not granted to cover basic living expenses, are limited in size, and do not require the worker to remain with the company until repayment is completed. | | | | | | |
| j | If the company uses prison labour it ensures that all prison workers have been convicted by a court of law, and that the work is voluntary and supervised by a public authority. | | | | | | |
| k | The company ensures that it does not use labour from agencies or firms involved in human trafficking or other forms of bonded labour. | | | | | | |
| | | | | | | | |
| LABOUR: CHILD LABOUR | | | | | | | |
| Question | Child labour and young workers | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| LA.4 | Does the company comply with minimum age standards? | | | | | | |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company does not employ workers under 15 years of age for full-time work, 13 years of age for light work and 18 years of age for hazardous work (please see the question description for exceptions). | | | | | | |
| b | If the company employs minors below the age of 18, the company has a list of job functions that can safely be performed by minors. | | | | | | |
| c | The company is aware of local age-levels for completion of compulsory education and does not employ workers under that age for work that may interfere with such education. | | | | | | |
| d | The company has a reliable procedure to check the age of young job candidates by birth certificate, other official forms of identification, or by alternative means such as physical appearance or knowledge of historic events. | | | | | | |
| e | Company apprenticeship programmes do not constitute the main portion of the workforce, are limited in duration, are performed in conjunction with a school programme (or supervised by Labour Ministers or Labour Organisations), and do not interfere with the child's compulsory education. | | | | | | |
| f | If the company becomes aware that it is employing young workers below minimum age, it ensures that they are enrolled in education programme, and that their dependents are compensated for the resulting loss of income. | | | | | | |
| | | | | | | | |
| LABOUR: DISCRIMINATION | | | | | | | |
| Question | Non-discrimination | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| LA.5 | Does the company ensure that employment-related decisions are based on relevant and objective criteria? | | | | | | |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company identifies different types of discrimination, including those rooted in formal structures and cultural traditions. | | | | | | |
| b | It is company policy to ensure that decisions concerning hiring, wages, promotion, training, discipline, retirement and termination are based only on unbiased criteria, and are not linked to any of the discriminatory characteristics listed in the description for this question. | | | | | | |
| c | Each job category in the company has a written description stating the salary level and the qualifications required for that job category. | | | | | | |
| d | The company ensures that employment advertisements do not reference discriminatory criteria, such as race, gender or age (unless listed as part of a legal equal opportunities promotion). | | | | | | |
| e | The company ensures that job applicants are not asked to give information about their marital status, pregnancy, intent to have children, number of dependents, or similar information that may lead to discriminatory hiring decisions. | | | | | | |
| f | All hiring managers receive training regarding the company's non-discrimination policies. | | | | | | |
| g | The company has established a procedure, accessible and known to all workers, where workers can safely report incidents of workplace discrimination. | | | | | | |
| h | The company takes reasonable steps to enable qualified persons with disabilities or health conditions to gain employment opportunities with the company, for example by providing wheel chair access, flexible working hours, longer breaks etc. | | | | | | |

| ENVIRONMENT: PRECAUTION | | | | | | |
|---|--|-----|----|-----|----------|------------------|
| Question | Response | Yes | No | N/A | Comments | Follow-up Action |
| EN1 | Does the company support a precautionary approach to environmental issues? | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company provides information to stakeholders about uncertainties and potential risks to workers, consumers, the public and the environment of the company's products and processes. | | | | | |
| b | The company identifies any soil and water contamination at its site or sites, assesses the environmental impacts and remedies any significant contamination. | | | | | |
| c | The company tries to avoid environmental damage by regular maintenance of production processes and environmental protection systems (air pollution control, waste water treatment systems etc.). | | | | | |
| d | The company conducts systematic risk assessments of materials used, products and processes to apply the precautionary approach. | | | | | |
| e | The company ensures transparency and engages in regular stakeholder dialogue with neighbours, civil society organisations and others with an interest in the company on critical environmental issues. | | | | | |
| f | If relevant, the company supports scientific research on environmental issues relating to the company's products and processes. | | | | | |
| Question | Emergency response | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| EN2 | Does the company have emergency procedures in place to prevent and address accidents affecting the environment and human health? | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company has identified the hazardous operations and the potential consequences on human health and the environment if an accident occurs. | | | | | |
| b | The company has detailed procedures, plans, equipment and training programmes to prevent accidents and emergencies. | | | | | |
| c | The company has detailed procedures, plans and equipment to effectively respond to accidents and emergencies if they occur. | | | | | |
| d | The company trains workers to respond to accidents and emergencies, including carrying out emergency drills at least once a year involving all workers. | | | | | |
| e | Where there is significant risk of impacts on local communities, the company has a procedure that enables it to immediately notify affected local communities about industrial emergencies, and informs about emergency response, evacuation plans and medical response. | | | | | |
| ENVIRONMENT: RESPONSIBILITY AND PERFORMANCE | | | | | | |
| Question | Energy consumption and climate change | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| EN3 | Does the company take measures to reduce energy consumption and emissions of greenhouse gases? | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company complies with regulation regarding use of energy resources and emissions of greenhouse gases. | | | | | |
| b | The company has a climate strategy and identifies opportunities to reduce the company's energy consumption and/or emissions of greenhouse gases. | | | | | |
| c | The company has initiated practical activities to reduce energy consumption and/or greenhouse gas emissions. | | | | | |
| d | The company provides information and trains employees to implement energy reduction measures. | | | | | |
| e | The company monitors its energy consumption and/or emissions of greenhouse gases. | | | | | |
| f | The company has defined a baseline for its greenhouse gas emissions, which includes a definition of the business operations and activities, and the greenhouse gases that are accounted for (e.g. as described in the Greenhouse Gas Protocol). | | | | | |
| g | The company has targets for reducing its energy consumption and/or emissions of greenhouse gases. | | | | | |
| h | The company engages with the government and civil society organisations to develop policies and measures that provide a framework for the business sector to contribute to building a low carbon economy. | | | | | |
| Question | Water and waste water | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| EN4 | Does the company take measures to reduce water consumption and treat waste water? | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company has the necessary permits to extract water or obtain water from the public water supply and for any waste water discharges. | | | | | |
| b | The company treats waste water before discharge to reduce adverse environmental impacts. If waste water treatment takes place outside the company's premises, the company is aware of the effectiveness of the treatment. | | | | | |
| c | The company monitors waste water discharges, including types, limit values and quantities of pollutants in the waste water. | | | | | |
| d | The company has targets for reducing water consumption and/or increasing the amount of water reused or recycled in different business operations and activities. | | | | | |
| e | The company provides information and trains workers to implement measures to reduce water consumption and reduce the need for waste water treatment. | | | | | |
| f | The company's use of water and its waste water discharges do not negatively affect the sustainability of water resources, the natural environment or the availability of water for drinking and sanitation purposes. | | | | | |
| g | The company engages with national, regional and local public authorities, and civil society organisations to address water sustainability issues related to affected water resources. | | | | | |
| Question | Waste management | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| EN5 | Does the company take measures to prevent and reduce the production of waste and ensure responsible waste management? | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company has the necessary permits for the handling, storage, recycling and disposal of waste, and, if relevant, complies with requirements for transporting hazardous waste across borders. | | | | | |
| b | The company has a strategy to manage waste responsibly and continuously attempts to prevent and reduce the production of waste. | | | | | |
| c | The company ensures that waste relevant for recycling is sorted and handed over to a recycling company. | | | | | |
| d | The company monitors the types and quantities of waste products, including where and how waste is recycled, reused or disposed of. | | | | | |
| e | The company has targets for reducing waste production and/or increasing waste reused/recycled and measures its progress against these targets. | | | | | |
| f | The company provides information and trains workers on the safe handling, storage, transport and disposal of hazardous and special waste types. | | | | | |
| g | The company marks areas used for storage of waste, and property labels all containers for storing waste, including a relevant symbol of danger for hazardous waste. | | | | | |
| h | The company requests recycling/treatment/disposal receipts from transport contractors. | | | | | |
| i | The company uses licensed contractors for the transport, recycling, treatment and disposal of hazardous waste. | | | | | |
| Question | Air emissions | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| EN6 | Does the company prevent, reduce and treat air emissions? | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company has the necessary permits for emissions to air, and complies with legal requirements (e.g. air pollution standards and limit values). | | | | | |
| b | The company provides information and trains workers on how to manage air emissions. | | | | | |
| c | The company monitors the types and quantities of relevant emissions to air. | | | | | |
| d | The company treats relevant pollutants before they are emitted to the atmosphere (e.g. by using filters). | | | | | |
| e | The company continuously attempts to prevent and reduce air emissions. | | | | | |
| Question | Noise, odour, light and vibrations | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| EN7 | Does the company prevent and reduce impacts on the surrounding environment from noise, odour, light and vibrations? | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| en.7.a | The company has the necessary permits for levels of noise, odour, light and vibrations, and complies with legal requirements (e.g. standards or good practices). | | | | | |
| en.7.b | The company provides information and trains workers to manage noise, odour, light and vibrations. | | | | | |
| en.7.c | The company monitors levels of noise, odour, light and vibrations on the surrounding environment. | | | | | |
| en.7.d | The company treats/minimises impacts to ensure that there are no significant levels of noise, odour, light and vibrations. | | | | | |
| en.7.e | The company continuously attempts to prevent and minimise the levels of noise, odour and light (e.g. enclosed production, shielding, etc.). | | | | | |
| Question | Chemicals and other dangerous substances | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| EN8 | Does the company minimise the use and ensure safe handling and storage of chemicals and other dangerous substances? | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company has the necessary permits and complies with legal requirements for the handling, use and storage of chemicals and other dangerous substances. | | | | | |
| b | The company does not manufacture, trade and/or use chemicals and other dangerous substances subject to national or international bans or phase-outs. | | | | | |
| c | The company provides information and trains workers on the safe handling and use of chemicals and other dangerous substances. | | | | | |
| d | The company monitors the quantities of all chemicals and other dangerous substances used in production and maintenance. | | | | | |
| e | The company marks areas used for storage of chemical substances and products. | | | | | |
| f | The company properly labels all chemical substances and products including name of the chemical and a relevant symbol of danger. | | | | | |
| g | The company considers substitution important and continuously tries to use less harmful chemicals and substances. | | | | | |
| Question | Sustainability | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| EN9 | Does the company prevent, minimise and remedy significant impacts on biodiversity? | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company has the necessary permits to operate in or alter the natural environment, and complies with legal requirements. | | | | | |
| b | The company is committed to operating within the framework of international conventions addressing biodiversity (e.g. the Convention on Biological Diversity, Cartagena Protocol on Bio-safety and the CITES Convention). | | | | | |
| c | The company has assessed important positive and negative impacts of its operations and activities on the natural environment and biodiversity (e.g. IUCN's Red List of Threatened Species and non alien invasive species). | | | | | |
| d | The company has previously and/or is currently taking measures to prevent and reduce the impacts of its operations and activities on biodiversity. | | | | | |
| e | The company clearly labels products containing GMOs and indicates if GMOs have been used in the production process. | | | | | |
| f | The company ensures that it has not had any unintended releases of GMOs. | | | | | |
| g | The company documents that workers have been adequately trained to handle GMOs. | | | | | |
| Question | Natural resources | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| EN10 | Does the company ensure that natural resources are used in a sustainable manner? | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company has the necessary permits and complies with legal requirements regarding the cultivation, harvest, extraction and/or use of natural resources (e.g. wood, fish, metals, oil, coal etc.). | | | | | |
| b | The company complies with legal requirements regarding the cultivation, harvest, extraction and/or use of natural resources (e.g. wood, fish, metals, oil, coal etc.). | | | | | |
| c | The company ensures that workers are trained in the sustainable cultivation, harvesting, extraction and/or use of natural resources. | | | | | |
| d | The company continuously attempts to prevent, minimise and remedy significant impacts on natural resources through environmentally friendly methods and alternative resource use. | | | | | |
| e | The company ensures that its use of renewable resources does not negatively affect the sustainability of the resource (i.e. the resource's ability to regenerate). | | | | | |
| f | The company demonstrates efforts to substitute non-renewable resources used in production with renewable resources. | | | | | |
| g | The company works with local and national public authorities as well as with international institutions to address sustainability issues related to natural resources (e.g. wood, water, fish, metals, oil etc.). | | | | | |
| ENVIRONMENT: TECHNOLOGY | | | | | | |
| Question | Environmentally friendly technologies | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| EN11 | Does the company encourage the development and use of environmentally friendly technologies? | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| Indicators | | YES | NO | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company uses environmentally friendly technology. | | | | | |
| b | The company regularly evaluates its processes and technologies to see if there are more environmentally friendly alternatives. | | | | | |
| c | When developing new technologies and products, the company focuses on developing environmentally friendly technology e.g. by using life cycle assessments (LCA), design for sustainability or a cradle-to-cradle approach. | | | | | |
| d | When planning new investments in technology, the company considers the best available technology and stipulates minimum environmental criteria. | | | | | |
| e | When investing in new buildings, the company implements environmentally responsible and resource efficient materials and/or technologies. | | | | | |
| f | The company makes information describing the environmental performance and benefits of using environmentally friendly technologies available to stakeholders. | | | | | |

| ANTI-CORRUPTION: COMPANY CULTURE AND PROCEDURES | | | | | | | |
|---|--|-----|----|-----|-----|----------|------------------|
| Question | Signalling a non-corrupt environment | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| AC.1 | Does the company take a clear stand against corruption? | | | | | | |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company's CEO, director or president has declared that the company will not engage in corruption at any time or in any form. | | | | | | |
| b | The company has a policy rejecting corruption and requiring all directors, managers and workers worldwide to behave ethically and in conformity with the law. | | | | | | |
| c | The company anti-corruption policy includes how to handle requests for facilitation payments, giving and receiving gifts, engaging in sponsorships, giving political contributions, and how to conduct responsible lobbying. | | | | | | |
| d | The company has defined benchmarks and indicators regarding its anti-corruption initiatives and reports these to the public (e.g. in its annual CSR report) | | | | | | |
| e | The company has defined benchmarks and indicators regarding its anti-corruption initiatives and reports these to the public (e.g. in its annual CSR report) | | | | | | |
| | | | | | | | |
| Question | Anti-Corruption risk assessment | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| AC.2 | Does the company assess the risk of corruption when doing business? | | | | | | |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company evaluates the potential areas of corruption including factors such as type of transaction, countries of operation, industries, and customers or business partners involved. | | | | | | |
| b | The company evaluates the risk of corruption when workers, agents, intermediaries or consultants deal with public officials (including workers of state owned companies). | | | | | | |
| c | The company evaluates the risk of internal and external conflicts of interest in relation to business partners. | | | | | | |
| d | The company has developed an action plan to address the risk of corruption, and has defined responsibilities for each task, as a minimum for high-risk areas. | | | | | | |
| e | The company has identified internal functions with the highest risk of corruption within the company and seeks to address these weaknesses. | | | | | | |
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| Question | Awareness raising | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| AC.3 | Does the company ensure that relevant workers are properly trained? | | | | | | |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company informs all workers about its anti-corruption commitment. | | | | | | |
| b | The company provides regular anti-corruption training for all relevant workers within the organisation e.g. procurement and sales staff. | | | | | | |
| c | Information on disciplinary procedures for violations of company anti-corruption policies is available to workers. | | | | | | |
| d | The company actively seeks worker feedback and dialogue on its anti-corruption initiatives. | | | | | | |
| e | The company has and promotes a function by which workers can safely report suspicion of corruption related cases (e.g. hotline or mailbox) and allocates resources to systematically address the issues that are identified. | | | | | | |
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| Question | Anti-corruption procedures | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| AC.4 | Do the company's internal procedures support its anti-corruption commitment? | | | | | | |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company has assigned different individuals or departments to be responsible for handling contracts, placing orders, receiving goods, processing invoices and making payments. | | | | | | |
| b | The company mentions "anti-corruption" and/or "ethical behaviour" in its contracts with business partners. | | | | | | |
| c | The company prohibits informal employment and any 'off the books' record-keeping | | | | | | |
| d | The company performs internal audits and has checks in place in connection with all anti-corruption commitments. | | | | | | |
| e | The company's procurement, financial and internal audit personnel have clear instructions to look for and to identify alarms, report them to management, and follow-up counter measures. | | | | | | |
| f | The company requests external auditors to maintain a critical eye and follow all alarms and irregularities. | | | | | | |
| g | Any alarm or irregularity reported by external auditors is systematically addressed by management. | | | | | | |
| h | The company monitors compliance and continuously identifies strengths and weaknesses in the anti-corruption initiatives to remain effective and up-to-date in addressing changing risks. | | | | | | |
| | | | | | | | |
| Question | Agents and other associates | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| AC.5 | Does the company's anti-corruption initiative cover agents, intermediaries and consultants? | | | | | | |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company conducts an inquiry and/or attentiveness (e.g. financial, legal, labour, tax, IT, environment, market/commercial) on all agents, intermediaries and consultants. | | | | | | |
| b | All agreements with agents, intermediaries and consultants are fully documented in written, signed contracts. | | | | | | |
| c | The selection and terms of reference of agents, intermediaries or consultants are approved at the senior management level or at a level above that of the management involved in the operations for which the intermediary is hired. | | | | | | |
| d | Contracts with agents, intermediaries and consultants include a section on anti-corruption and that the contract-holder must comply with all applicable laws and regulations. | | | | | | |
| e | Agents, intermediaries and consultants are provided with information on the company's anti-corruption commitment, anti-corruption policies, training material on anti-corrupt behaviour and information on disciplinary procedures for violations of company anti-corruption policies. | | | | | | |
| f | The company ensures that payment to agents, intermediaries and consultants are in line with standard payments for other service providers of similar ranking. | | | | | | |
| g | The company only makes payments by bank transfer or check - never in cash - in the country of the agent, intermediary and consultant and never to a third party without prior examination. | | | | | | |
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| ANTI-CORRUPTION: JOINT ACTIONS | | | | | | | |
| Question | JOINT ACTIONS | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| AC.6 | Does the company take joint actions with others to engage in and promote anti-corruption initiatives? | | | | | | |
| Indicators | | YES | NO | F/A | N/A | COMMENTS | FOLLOW-UP ACTION |
| a | The company shares experience, procedures and challenges of corruption with other organizations i.e. the local business community, sector initiatives, networks etc. | | | | | | |
| b | The company has initiated or joined initiatives with other companies in the same sector for the purpose of promoting a fair business environment. | | | | | | |
| c | The company stimulates multi-stakeholder dialogue on challenges of corruption. | | | | | | |
| d | | | | | | | |