

European Automotive Working Group on Supply Chain Sustainability









With support from:








Self-Assessment Questionnaire on CSR/ Sustainability for Automotive Sector Suppliers

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

This Self-Assessment Questionnaire (SAQ) is designed to be a first check of supplier performance on CSR/Sustainability and was developed by the Working Group members in 2014*. The questionnaire is currently being put into use by eight of the members** and is intended to avoid duplication and improve efficiency. The working group itself has a set of [common guidelines](#) outlining expectations for suppliers on key responsibility issues including human rights, environment, working conditions and business ethics.

The questionnaire relates to both corporate and site/plant level.

* 2014 Working Group members: BMW Group, Daimler, Ford Motor Company, Jaguar Land Rover, PSA Peugeot Citroen, Scania, Toyota Motor Europe, Volkswagen, Volvo Group, Volvo Cars.

** OEMs using the SAQ: BMW Group, Daimler, Jaguar Land Rover, Scania, Toyota Motor Europe, Volkswagen, Volvo Group, Volvo Cars.

Company Name:

Location:

Number of employees:

Business area:

Total yearly turnover:

Site Name:

Location:

Headquarter:

 No

 Yes

Supplier ID: (fill in those that apply)

DUNS number:

Other (please specify):

Filled in by: Name :

Position:

Email:

Tel:

A. Company Management (General)

Background

1. Does your company have a management person responsible for:

1a. Social sustainability

No

Yes If yes, please provide:

Name:

e-mail:

1b. Business Conduct and Compliance

No

Yes* If yes, please provide:

Name:

e-mail:

1c. Environmental sustainability

No

Yes* If yes, please provide:

Name:

e-mail:

* Please fill out the contact details, even if the person is the same as above.

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. Examples of social topics to address include working conditions, non-discrimination, freedom of association and collective bargaining, health and safety at work, etc. (See Section B)

Business conduct and compliance relate to the principles that guide business conduct in its relations towards its business partners and customers. Examples of unethical business practice include corruption, extortion and bribery. (See Section C)

Environmental sustainability relates to practices that contribute to the quality of the environment on a long-term basis. Examples of company practices include recycling programmes, carbon emissions reduction programmes, programmes for waste management, etc. (See Section D)

Companies are expected to appoint a senior management representative, who irrespective of other responsibilities, serves as a management person responsible to ensure that the company meets its commitment related to social sustainability, business conduct and compliance and environmental sustainability.

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 self-assessment questionnaire.

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

No

No, but we publish:

Environmental report

CSR/Sustainability report integrated in annual report

Other (please specify)

Yes If yes, please insert web link or upload report

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

No

Yes If yes, please provide the name of the third party:

2b. Are the operations of all your company sites included in that report?

No

Yes

A CSR/ sustainability report is an organisational report that gives information about economic, environmental, social and ethical performance.

[EU Directive on Non-Financial and Diversity Information Disclosure](#)

This Directive concerns your company, if your company meets all of the three criteria:

1. Your company is a large undertaking (in the meaning of Art. 3 (7) of Directive 2013/34/EU) with either a balance sheet total of EUR 20 million OR a net turnover EUR 40 million.

2. AND your company is a public interest entity, defined by Art. 2 (a, b, c, d) of Directive 2013/34/EU

3. AND when your company's average number of employees exceeds 500 during a financial year.

An environmental report is a systematic document published by companies with the aim of communicating with stakeholders on the most relevant environmental issues.

(Source: Forum on Environmental Reporting – Guidelines for preparation)

A. Company Management (General)

Background

3. Does your company have a Code of Conduct in place?

No

Yes please upload relevant document

3a. Is the Code of Conduct enforced at this site?

No

Yes

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

4. Do you organise training sessions to enhance the understanding of Corporate Social Responsibility/Sustainability at your site?

No

No, but we plan to implement such training sessions

Please specify: (Month/Year)

Yes, training sessions are implemented on irregular basis

Yes, training sessions are implemented on regular basis

4a. On which of the following topics do your organise training sessions?

Code of Conduct

Social issues

Anti-corruption and ethics

Health & safety

Environmental management

Training sessions to enhance the understanding of CSR/ Sustainability refers to companies training their employees on the expectations, policies and procedures relating to Corporate Social Responsibility within the company context. Training is intended to raise awareness on CSR topics, so that specific functions could identify and act on issues they encounter in their day-to-day activities. Training could be function-specific (e.g. trainings for buyers, managers, etc.), or topic-specific (e.g. on anti-corruption, Health&Safety, etc.)

Corporate Social Responsibility (CSR) is a process for companies to integrate social, environmental, ethical and human rights concerns into their operations and core strategy, in close collaboration with their stakeholders

Source: European Commission, EU Strategy on CSR 2011 - 2014

Examples of social issues that companies could conduct training sessions on include non-discrimination, human rights, etc.(See Section B)

5. Have employees from your site participated in external Corporate Social Responsibility/Sustainability training?

No

Yes

5a. Who organised the training?

An OEM
Please specify: (Month/Year)

The Automotive Industry Action Group (AIAG)
Please specify: (Month/Year)

The European Working Group on Supply Chain Sustainability
Please specify: (Month/Year)

Other (please specify)

| A. Company Management (General) | Background |
|--|--|
| <p>If the answer 'European Working Group' was not selected in 5a, then please answer question 5b.</p> <p>5b. Would you be interested in participating in a training organised by the European Automotive Working Group?</p> <p><input type="checkbox"/> Yes (please forward your contact details to your buyer)</p> <p><input type="checkbox"/> No</p> | |
| <p>6. Does your company participate in any voluntary CSR/sustainability initiatives</p> <p><input type="checkbox"/> Yes (please specify) <input type="text"/></p> <p><input type="checkbox"/> No</p> | <p>Voluntary CSR/ Sustainability initiatives can be for example United Nations Global Compact, CDP, or industry specific initiatives</p> |

7. For which of the following social issues does your company have a policy in place?

- Respect for human rights (e.g. fair treatment)
- No forced or compulsory labour
- No human trafficking
- No child labour (e.g. no worker under legal working age, etc.)
- Working conditions (e.g. mandatory days off, etc.)
- Wages & benefits (e.g. no unpaid overtime, etc.)
- Non-discrimination (e.g. age, gender, religion, race, etc.)
- Freedom of association
- Collective bargaining

please upload relevant document

A company policy refers to a business approach to a given issue and contains general principles and/or practical how-to-do items. A policy may include components such as prohibited behaviours, rights, and dispute procedures. Social issues could be contained in the company HR policy, CSR policy, Human Rights policy, etc.

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, colour, religion, or any other status. Source: European Commission, Guide for SMEs

Forced or compulsory labour refers to all work or service exacted from any person under the menace of any penalty and for which that person has not offered himself voluntarily. Examples include forced overtime, retention of identity documents, etc. Source: International Trade Union Confederation

Child labour relates to the prohibition of employment of children who are under the legal minimum working age. Young people admitted to work must have working conditions appropriate to their age and be protected against economic exploitation and any work likely to harm their safety, health or physical, mental, moral or social development or to interfere with their education. Source: EU Charter of Fundamental Rights

Working conditions refer to the working environment and aspects of an employee's terms and conditions of employment. Examples include health, safety and well-being; maximum daily and weekly working hours, including mandatory days off, annual paid leave etc. Source: EU Charter of Fundamental Rights

Wages & 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. Examples include paid sick days, family and medical leave, paid overtime, etc. Source: ILO-UNGC

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. Source: EU Charter of Fundamental Rights

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 his or her interests. Source: EU Charter of Fundamental Rights

Collective bargaining is 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

| B. Social Sustainability | Background |
|--|--|
| <p>8. Does your site have a certified management system in place to manage the above mentioned social issues?</p> <p><input type="checkbox"/> No, on none of the above</p> <p><input type="checkbox"/> Yes, (please upload SA8000 Social Management System)</p> <p><input type="checkbox"/> No, but we have internal documented procedures and policies (please upload relevant documented procedures)</p> | <p>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).</p> <p>A documented procedure is a written description of prescribed course of action or process to manage and control organisations activities.</p> <p>Examples of relevant social standards include:</p> <ul style="list-style-type: none"> - ISO26000 Guidance Social Responsibility - SA8000 Social Management System |
| <p>9. Have social audits/assessments been conducted at this site?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes, internal audits</p> <p><input type="checkbox"/> Yes, external 3rd party audits (please provide the following)</p> <p>Awarding body <input type="text"/></p> <p>Certificate number <input type="text"/></p> <p>Date <input type="text"/></p> <p>Next review <input type="text"/></p> <p style="text-align: center;">please upload relevant document</p> | <p>Social assessment is defined as a process of assessing or estimating a company's impact of its own activities and operations particularly in social, economic and environmental context. An example of a social assessment can be the Human Rights Compliance Assessments (include link).</p> <p>Social audit is a type of a social assessment. It enables an organisation to assess and demonstrate its compliance to legislation and social, economic, and environmental benefits and limitations. 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.</p> <p>Social audits can be conducted internally or by an external 3rd party body that issues a certificate.</p> |
| <p>10. Does your company have a written health & safety policy in place, which complies with industry, national and international standards?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes please upload relevant document</p> <p>10a. Have specific activities on health & safety been organised at this site during the past year?</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes please upload relevant document</p> | <p>Examples of specific activities on Health & Safety include:</p> <ul style="list-style-type: none"> • Training and use of Personal Protection Equipment • Training on company Health & Safety policy • Work environment inspections • Training on work with hazardous materials • Distribution of educational materials on health & safety procedures • Information campaign for workers on health & safety procedures specific to the site |

11. Does this site have a health and safety management system in place?

- No
- Yes please upload relevant document

11a. Is the system certified?

- No

11aa. If answered 'no':

Have internal health and safety audits been conducted at this site?

- No
- Yes (please upload the relevant document e.g. internal audit report)

- Yes

If answered 'yes', please provide:

Awarding body:

Certificate number:

Next review:

please upload relevant document

Health and safety management system relates to organised efforts and procedures for identifying workplace hazards and 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.

Examples of relevant standards and certification include:

- OHSAS 18001
- ILO-OSH

12. Do other production sites/locations have a certified health and safety management system?

- No
- Yes, for some sites (please upload relevant document e.g. a list of sites)
- Yes, for all sites (please upload relevant document e.g. a list of sites)

C. Business Conduct and Compliance

13. Does your company have a formal policy in place regarding business conduct and compliance? (corruption, extortion, bribery)

No

Yes please upload relevant document

13a. Are the following areas covered by this policy or the related processes and procedures?

Corruption, including extortion

Bribery

14. Does your company have a formal policy in place regarding Competition Law Compliance?

No

Yes (please upload company's policy strategy)

14a. Does this site have a documented business conduct and compliance ethics management system in place?

No

Yes (please upload relevant documented procedure)

Business Conduct and Compliance Policy and principles apply to employees, independent contractors, consultants, and others with whom business has been done. Formal policy on business conduct and compliance helps drive business ethically, honestly, and in full compliance with all laws and regulations. Those principles should apply to every business decision in every area of the company (worldwide).

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

Extortion: The solicitation of bribes is the act of asking or enticing another to commit bribery. It becomes extortion when this demand is accompanied by threats that endanger the personal integrity or the life of the private actors involved. Source: UN Global Compact and OECD Guidelines for Multinational Enterprises

Bribery is an offer or receipt of any gift, loan, fee, reward or other advantage to or from any person as an inducement to do something which is dishonest, illegal or a breach of trust, in the conduct of the enterprise's business. Source: UN Global Compact and Transparency International

Compliance with competition laws: 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: European Commission

D. Environmental Sustainability

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

No

Yes please upload relevant document

15a. Are the following areas covered by this policy or the related processes and working procedures?

Energy consumption

Water usage

Air emissions

Waste management

Restricted substances and chemical handling

Other areas, please specify:

15b. Does your company have annual objectives and activities accordingly in the areas covered by your environmental policy?

No

Yes (please upload relevant document explaining the objectives and the activities to achieve them)

16. Does this site have an environmental management system in place?

No

Yes please upload relevant document

16a. Is the system certified?

No

16aa. If answered 'no':

Have internal environmental audits been conducted at this site?

No

Yes (please uploads relevant document e.g. internal audit report)

Yes

If you answered 'yes' to 16a, please provide:

Awarding body:

Certificate number:

Date:

Next review:

please upload relevant document

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.

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 of pollution.

Examples of relevant standards and certification include:

- ISO14001 EMS
- ISO14064 GHG
- PAS 2060 Carbon neutrality
- BS/EN/ISO14006:2011/14004:2010/14001:2004 Environmental management systems
- BS8555 Certification: Implementation of environmental management systems
- PAS2050 Carbon footprint
- EU Eco-Management and Audit Scheme (EMAS)

Environmental audits enable an organisation 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.

D. Environmental Sustainability

17. Do other production sites/locations have a certified environmental management system?

- No
- Yes, for some sites (please upload relevant document e.g. a list of sites)
- Yes, for all sites (please upload relevant document e.g. a list of sites)

This question is not relevant for service providers

18. Does your facility use restricted substances or chemicals for your production?

- No
- Yes

If answered 'yes', please answer question 19a

18a. Does your facility have work procedures to manage the use of restricted substances and chemicals?

- No
- Yes (please upload relevant document)

18b. Has the management system used for managing the usage of restricted substances or chemicals been certified?

- No
- Yes

If yes, please provide:

Awarding body:

Certificate number:

Date:

Next review:

please upload relevant document

Examples of regulations on restricted substances and chemical handling:

(1) REACH (Registration, Evaluation, Authorisation, and Restriction of Chemicals):

[REACH](#) 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.

(2) RoHS (Restriction of Hazardous Substances):

[RoHS](#) 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.

This question is not relevant for service providers

19. Do you upload your material data to the International Material Data System ([IMDS Database](#))?

- No
- Yes

E. Supplier Management

20. Does your company have a supplier CSR/Sustainability Policy?

- No
 Yes (please upload relevant document)

20a. Which areas are covered by this policy?

- Respect for human rights
 No forced or compulsory labour
 No human trafficking
 No child labour
 Working conditions
 Remuneration
 Non-discrimination
 Freedom of association
 Collective bargaining
 Anti-corruption and bribery
 Healthy and safety
 Environment

20b. Which supplier category is covered by your CSR/Sustainability policy? Please tick all that apply:

- Direct procurement suppliers
 Indirect procurement suppliers

Examples of **Supplier CSR/Sustainability Policy** could be a specific Supplier Code of Conduct or a Company Conduct document which applies to both internal employees as well as external business partners, such as suppliers.

The objective should be to promote healthy working conditions and environmental responsibility throughout the entire supply chain.

Direct procurement refers to third-party services and goods that are part of or used in the manufacturing of the organisation's products and/or services.

Indirect procurement refers to categories of goods and services that are supporting the organization's business processes.

21. Does your company communicate its CSR/Sustainability policy to its suppliers?

- No
 Yes

21a. How is the Supplier CSR/Sustainability policy communicated?

- During supply meetings
 In contractual terms
 Through brochures, magazines, newsletter, webpage

E. Supplier Management

22. Which processes do you have in place to ensure that your Supplier Sustainability Policy is efficiently implemented by your suppliers?

- Self-assessment questionnaire
- Audits conducted by the company
- Supply meetings
- Audits conducted by an external 3rd party auditor
- Other (please specify)
- None

Please upload any documents relevant to your answer.

F. Special Areas

This question is not relevant for service providers

23. Is the 3TG (tantalum, tin, gold or tungsten) necessary to the production of your company's products and contained in the finished product that your company manufactures or contracts to manufacture?

- No
- Yes (please upload CMRT template)

Example of legislation relating to "conflict minerals":

Dodd-Frank Wall Street Reform and Consumer Protection Act, US federal law

The Dodd-Frank Act requires companies listed in the US stock exchange or American companies of a certain size to disclose their use of so called conflict minerals (tantalum, tin, gold and tungsten sourced from the Democratic Republic of Congo and its neighbouring states)

Companies that are at risk of using conflict minerals are required to undertake due diligence on the sourcing and file a conflict minerals report.

Examples of conflict minerals reporting template:

(1) EICC-GeSI Conflict Minerals Reporting Template

This template was created by the Electronic Industry Citizenship Coalition (EICC) and the Global e-Sustainability Initiative (GeSI). It is used by some companies as a means for the collection of sourcing information related to "Conflict Minerals".

[EICC GeSI conflict minerals reporting template](#)

G. Additional Information

24. Please use the space provided below to provide additional information (e.g. comments regarding policy, timing for certification) or feedback:

About the European Automotive Working Group on Supply Chain

The European Automotive Working Group on Supply Chain Sustainability coordinated by CSR Europe consists of several automotive manufacturers working together – in addition to their own efforts – to enhance sustainability in their supply chains.

In respect to their products and services, people and environment are vital resources in their automotive industry. Therefore, they work together to improve the social, ethical and environmental performance of automotive supply chains. It is of great importance to this group of responsible automotive manufacturers that the individuals making vehicles, components, or providing services, are afforded decent working conditions and are treated with dignity and respect, while minimising the environmental impact of the industry. As the automotive industry has complex value chains and a deep structured supplier base, the group believes in the benefits of a common approach and common messages towards suppliers, i.e. trainings and other activities. However, every party of the group shall maintain the management of their independent supply chains. In the process of collaboration, the participants strongly agreed to work together in compliance with competition law.

About CSR Europe

CSR Europe is the leading European business network for Corporate Social Responsibility. Representing 60 corporate members and 45 National Partners, it is a platform for supporting over 5,000 companies from different industrial sectors to positively contribute to society

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