



2019 RBA Corporate Level Self- Assessment Questionnaire (SAQ)

Company Name : _____

The full RBA SAQ is completed within our online tool (RBA-Online), and the official proprietary scoring is only provided after submission to the system. When completing the SAQ online, it has dependencies built in so some questions are only applicable depending on answers to previous questions. This PDF is provided for informational purposes only. Please contact RBA for more information.

Note : Please answer in column F

COMPANY INFO	
CI -- COMPANY INFORMATION	
CI1.1	Company Name:
CI1.2	Company Headquarters Mailing Address:
CI1.3	Street Address:
CI1.4	City and State/Province (Please enter N/A if not applicable):
CI1.5	Country:
CI1.6	Primary Contact Name:
CI1.7	Contact Position or Title:
CI1.8	Contact Telephone Number:
CI1.9	Contact Email:
CI1.10	Please choose your PRIMARY Deliverables:
CI1.11	What are the principal Product based activities of your company? (To select multiple rows hold down the Ctrl key and click additional choices):
CI1.15	Which of the following best describes your company?
CI1.18	Please list the countries where your company has business operations and/or manufacturing facilities. (Note that each manufacturing facility must complete a Facility Questionnaire).
CI1.19	What is your total directly employed workforce worldwide.
CI1.20	What percentage of your total workforce is typically indirect, contract or dispatch?
CI1.21	As a result of any company misconduct, is your company subject to any trade sanctions imposed by any government?
CI1.22	Within the last 7 years, has your Company or any of the key personnel been suspended from doing business, charged with or convicted of fraud, bribery, corruption, or business related criminal acts?
CI1.23	Notes and Comments on any question in this section: (answer required, If none enter N/A)

LABOR AND ETHICS	
CLETMA -- LABOR AND ETHICS MANAGEMENT ACCOUNTABILITY	
CLETMA1.1	Are one or more company management representatives responsible for assuring compliance with LABOR laws, regulations, and codes across all of your facilities?
CLETMA1.2	Are one or more company representatives or compliance officers responsible for assuring compliance with business ETHICS laws, regulations and codes (e.g. bribery, corruption, etc.) across all of your facilities?
CLETMA1.3	During the last 12 months, has your company received any awards or recognition for your LABOR or ETHICS achievements from internationally recognized organizations?
CLETMA1.5	Notes and Comments on any question in this section: (answer required, If none enter N/A)
CLETPP -- LABOR AND ETHICS POLICIES AND PROCEDURES	
CLETPP1.1	Does your company have a written LABOR policy (or statement of commitment)? (May be part of a combined labor and ethics policy)
CLETPP1.4	Does your company have a written ETHICS policy (or statement of commitment)? (May be part of a combined LABOR and ETHICS policy)
CLETPP1.7	Does your company place a contractual requirement on its SUPPLIERS (including labor agencies) to be in compliance with current LABOR laws, regulations and industry standards?
CLETPP1.8	Does your company place a contractual requirement on its SUPPLIERS (including labor agencies) to be in compliance with current ETHICS laws, regulations and industry standards?
CLETPP1.9	Notes and Comments on any question in this section: (answer required, If none enter N/A)
CLETPP1.10	Would you like to attach any other applicable documents related to this section?
CLETMS -- LABOR AND ETHICS MANAGEMENT SYSTEM STATUS	
CLETMS1.1	Does your company utilize a management systems approach (including policies, goals, procedures, and review processes) to assure proper management of LABOR?

CLETMS1.4	On what system or standard is it modeled?
CLETMS1.5	When did management review the status of the above LABOR management system(s) and identify any improvement opportunities?
CLETMS1.6	To what extent are your LABOR management system(s) documented?
CLETMS1.7	Does your company utilize a management systems approach (including policies, goals, procedures and review processes) to assure proper management of ETHICS?
CLETMS1.10	On what system or standard is it modeled?
CLETMS1.11	When did management review the status of the above ETHICS management system(s) and identify any improvement opportunities?
CLETMS1.12	To what extent are your ETHICS management system(s) documented?
CLETMS1.13	Has your company established a tracking system to identify and monitor LABOR and ETHICS laws and regulations that apply to your company?
CLETMS1.14	Does your company track and review performance metrics and data on Working Hours?
CLETMS1.15	Does your company PUBLICLY report these Working Hours metrics?
CLETMS1.16	Does your company track and review performance metrics/data for Other LABOR Topics?
CLETMS1.17	Does your company PUBLICLY report these objectives and metrics on Other LABOR Topics?
CLETMS1.18	Does your company track and review performance metrics/data for ETHICS and Governance issues?
CLETMS1.19	Does your company PUBLICLY report these ETHICS and Governance metrics?
CLETMS1.20	Does your company have a risk assessment process to identify, prioritize, and mitigate the potential LABOR and ETHICS risks associated with your operations and activities?
CLETMS1.21	Does your company have a program to assess risks and manage the identified risks relating to the LABOR and ETHICS practices of your SUPPLIERS?
CLETMS1.22	Does your company conduct periodic audits of LABOR and ETHICS practices at any of its facilities in order to assess conformance with regulatory and other requirements?
CLETMS1.23	During the last 12 months, has your company received a LABOR or ETHICS practices audit or assessment by a customer or other external organization at any of your facilities?
CLETMS1.24	Does your company have a process to immediately implement corrective actions for LABOR or ETHICS deficiencies identified by internal or external assessments, audits and reviews?
CLETMS1.25	Does the corrective action process include root cause analysis and prevention?
CLETMS1.26	Does your company provide formal training to employees on Business ETHICS which includes guidance on how to prevent and detect corruption?
CLETMS1.27	Does your company agree to NOT pay anything of value to any government official for the purpose of improperly influencing any official decision directly or through any intermediary?
CLETMS1.28	Notes and Comments on any question in this section: (answer required, If none enter N/A)

HEALTH & SAFETY AND ENVIRONMENTAL	
CHSEMA -- HEALTH, SAFETY AND ENVIRONMENTAL MANAGEMENT ACCOUNTABILITY AND HISTORY	
CHSEMA1.1	Are one or more company management representatives responsible for assuring compliance with occupational HEALTH & SAFETY laws, regulations and codes across all of your facilities?
CHSEMA1.2	Are one or more company management representatives responsible for assuring compliance with ENVIRONMENTAL laws, regulations and codes across all of your facilities?
CHSEMA1.3	During the last 12 months, has your company received any company-wide awards or recognition for your HEALTH & SAFETY or ENVIRONMENTAL achievements from internationally recognized organizations?
CHSEMA1.5	During the last 12 months, were there fires, explosions, industrial accidents, or hazardous releases outside of secondary containment at any of your facilities?
CHSEMA1.7	Notes and Comments on any question in this section: (answer required, If none enter N/A)
CHSEMA1.7a	Would you like to attach any other applicable documents related to this section?
CHSEPP -- HEALTH, SAFETY AND ENVIRONMENTAL POLICY AND PROCEDURES	
CHSEPP1.1	Does your company have a written HEALTH & SAFETY Policy (or statement of commitment)? (May be part of a combined health, safety and environmental policy).
CHSEPP1.4	Does your company place a contractual requirement on its SUPPLIERS (including labor agencies) to be in compliance with occupational HEALTH & SAFETY laws and regulations, and adopt a HEALTH & SAFETY standard or code of conduct?
CHSEPP1.5	Does your company have a written ENVIRONMENTAL Policy (or statement of commitment)? (May be part of a combined health, safety and environmental policy)
CHSEPP1.6	Please provide a website address, URL, or contact email to obtain a copy of the policy or statement of commitment.
CHSEPP1.7	Do all of your facilities communicate the ENVIRONMENTAL policies in the language(s) of the workers?
CHSEPP1.8	Does your company place a contractual requirement on its SUPPLIERS (including labor agencies) to be in compliance with ENVIRONMENTAL regulations and adopt an ENVIRONMENTAL standard or code of conduct?
CHSEPP1.9	Notes and Comments on any question in this section: (answer required, If none enter N/A)
CHEMS -- HEALTH, SAFETY AND ENVIRONMENTAL MANAGEMENT SYSTEM STATUS	
CHEMS1.1	Does your company utilize a management systems approach (including policies, programs, procedures, and review processes) to assure proper management of HEALTH & SAFETY practices?
CHEMS1.4	On what system or standard is it modeled?
CHEMS1.5	To what extent is the above HEALTH & SAFETY management system documented?

CHEMS1.6	When did management review the above HEALTH & SAFETY management system(s) and identify any improvement opportunities?
CHEMS1.7	Does your company utilize a management systems approach (including policies, programs, procedures, and review processes) to assure proper management of ENVIRONMENTAL practices?
CHEMS1.10	On what system or standard is it modeled?
CHEMS1.11	To what extent is the above ENVIRONMENTAL management system documented?
CHEMS1.12	When did management review ENVIRONMENTAL management system and identify any improvement opportunities?
CHEMS1.13	Has your company established a tracking system to identify and monitor HEALTH & SAFETY and ENVIRONMENTAL laws and regulations that apply to your company?
CHEMS1.14	Does your company Track and review performance metrics and data for employee HEALTH & SAFETY?
CHEMS1.16	Does your company track and review performance metrics/data for ENVIRONMENTAL Issues?
CHEMS1.18	Does your company have a risk assessment process to identify, prioritize, and mitigate the potential HEALTH & SAFETY and ENVIRONMENTAL risks associated with your operations and activities?
CHEMS1.19	Does your company have a program to assess risks and manage the identified risks relating to the HEALTH & SAFETY and ENVIRONMENTAL practices of your SUPPLIERS?
CHEMS1.20	Does your company conduct periodic audits of HEALTH & SAFETY and ENVIRONMENTAL practices at its operating facilities in order to assess conformance with regulatory and other requirements?
CHEMS1.21	During the last 12 months, has your company received a HEALTH & SAFETY or ENVIRONMENTAL practices audit or assessment by a customer or other external organization at any of your facilities?
CHEMS1.22	Does your company have a process to immediately implement corrective actions for HEALTH & SAFETY and ENVIRONMENTAL deficiencies identified by internal or external assessments, audits and reviews?
CHEMS1.23	Does the corrective action process include root cause analysis and prevention?
CHEMS1.24	Does your company have a sourcing policy and procedures to address conflict minerals in your supply chain?
CHEMS1.25	Please explain:
CHEMS1.26	Notes and Comments on any question in this section: (answer required, If none enter N/A)