

2019 Self-Assessment Questionnaire (SAQ) Facility-Level Social and Environmental Responsibility Survey

Company Name : _____

Site Name : _____

Core SAQ Version Name : **Facility SAQ - 2019**

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.

GENERAL FACILITY INFO	
FI - FACILITY INFORMATION & CONTACT	
FI1.1	Company Name:
FI1.2	Facility Name (Business License Name):
FI1.3	Facility Address:
FI1.4	Facility City:
FI1.5	Facility State or Province:
FI1.6	Facility Country:
FI1.7	Facility Postal Code:
FI1.8	Please choose your PRIMARY Deliverables:
FI1.9	Main Contact name for RBA audit:
FI1.10	Contact Telephone Number:
FI1.11	Contact Email:
FI1.12	Social and Environmental Responsibility Contact Name:
FI1.13	Contact Position or Title:
FI1.14	Contact Telephone Number:
FI1.15	Contact Email:
FI1.16	Company Headquarters Address (if different from above)(Enter N/A if not applicable):
FI1.17	Notes and Comments on any question in this section: (answer required, if none enter N/A)
FC-FACILITY CHARACTERISTICS	
FC1.1	What are the principal Product based activities performed at your facility? (To select multiple rows hold down the Ctrl key and click additional choices):
FC1.2	Please describe Other Manufacturing:
FC1.3	What are the principal Service based activities performed at your facility (To select multiple rows hold down the Ctrl key and click additional choices):
FC1.4	Please describe Other Services:
FC1.5	How many males are employed at your facility?
FC1.6	How many male workers, including both local and foreign or migrant workers (please exclude supervisors/executive/management/professional)?
FC1.9	How many females are employed at your facility?
FC1.10	How many female workers including both local and foreign or migrant workers (please exclude supervisors/executive/management/professional)?
FC1.13	How many male workers employed at your facility are under the age of 18?
FC1.14	How many female workers employed at your facility are under the age of 18?
FC1.15	How many male indirect, contract or dispatch workers are employed at your facility (both local and foreign, persons not under a direct contract to the facility and not management level)?
FC1.16	How many female indirect, contract or dispatch workers are employed at your facility (both local and foreign, persons not under a direct contract to the facility and not management level)?
FC1.17	How many male foreign or migrant workers are employed at your facility? Please exclude foreign employees working at supervisory, executive or management level.
FC1.18	How many female foreign or migrant workers are employed at your facility? Please exclude foreign employees working at supervisory, executive or management level.
FC1.19	How many student workers are employed at your facility? (refer to guidance text for the full definition)
FC1.20	How many interns are employed at your facility? (refer to guidance text for the full definition)
FC1.21	How many apprentices are employed at your facility? (refer to guidance text for the full definition)
FC1.22	Is your facility site owned or leased?

FC1.23	Please include the year your company began operations at this location.
FC1.24	During the last 12 months, were there any public demonstrations, protests, or adverse media reports involving your facility's operations or business conduct?
FC1.26	How many buildings do you have at this facility?
FC1.27	What is the total property size in square meters (SQM)?
FC1.28	What is the total floor space (under roof, including all floors) in square meters (SQM)?
FC1.29	Notes and Comments on any question in this section: (answer required, if none enter N/A)
FC1.30	How many people are employed onsite at your facility (under the business license, NOT limited to one customer)?
FC1.31	List the number of foreign migrant workers by nationality: (example: 45 from country A, 60 from country B, etc.). Note that the total number should equal the total of FC1.17 plus FC1.18.
FC1.32	List the main languages spoken by workers (including migrant workers). Please exclude foreign employees working at supervisory, executive or management level.
FC1.7	How many male production supervisors?
FC1.8	How many male executive/ management / professionals?
FC1.11	How many female production supervisors?
FC1.12	How many female executive/ management / professionals?
FOS - ONSITE-LOCATION SERVICES	
FOS1.1	Do any of your processes include the use or storage of polychlorinated biphenyls (PCB)?
FOS1.2	Do your onsite-location services include a Clean Room?
FOS1.3	Please describe:
FOS1.4	Do your onsite-location services include Waste Water or Solid Waste Treatment or Processing?
FOS1.5	Please describe:
FOS1.6	Do you have an onsite Emergency Response team?
FOS1.7	Please describe:
FOS1.10	Do your onsite-location services include a fire brigade?
FOS1.11	Please describe:
FOS1.12	Do your onsite-location services include power generation?
FOS1.13	Please describe:
FOS1.14	Do your onsite-location services include a hospital/infirmiry?
FOS1.15	Please describe:
FOS1.16	Do your onsite-location services include a Crèche/Nursery?
FOS1.17	Please describe:
FOS1.18	Are there any other onsite-location services?
FOS1.19	Please describe:
FOS1.20	How many canteen/catering personnel does your facility have?
FOS1.21	Notes and Comments on any question in this section: (answer required, if none enter N/A)
FOS1.22	Do you have any on-site combustion? (gas or coal-fired boilers, on-site electricity or steam generation, gas or coal-fired incinerators, etc.)
FOS1.23	Please describe:
FOS1.24	Do you use diesel fuel, gasoline, or propane in a vehicle fleet you own?
FOS1.25	Please describe
FOS1.26	Does your facility have on-site service providers?
FOS1.27	Please describe:

LABOR	
FLBR - LABOR RISK ELEMENTS	
FLBR1.1	What percentage of the workers employed at your facility have a written and signed employment agreement or contract?
FLBR1.1a	What percentage of these workers with contracts have contracts which are in their native language?
FLBR1.2	What percentage of the workers employed at your facility are contract or dispatch workers?
FLBR1.3	Does your facility use third-party workforce recruiters or labor agents in any way to provide foreign or migrant workers?
FLBR1.3a	Please specify how many third-party workforce recruiting agencies are used.
FLBR1.4	Who pays the recruiting, hiring, transportation and other fees including any initial and ongoing fees such as transportation, testing, training, passports, levy's, etc.?
FLBR1.4a	Are all initial and ongoing fees related to recruiting hiring, transportation for transportation, testing, training, passports, levy's etc. which are paid by the foreign or local workers reimbursed by the company?
FLBR1.4b	Notes/ Comments about Partial Reimbursement of Fees
FLBR1.6	Are any workers required to deposit money or to turn over / hand in valuables or their personal identity documents (example: passports) for the company to store?
FLBR1.7	How are your employees paid?
FLBR1.8	During the last 12 months, has your facility hired or utilized any young workers (under 18) or persons under an apprenticeship, internship, or as a student worker?
FLBR1.9	If you use Young Workers (under 18), apprentices, interns, or student workers, does your facility have comprehensive employment policies in place for these types of workers in accordance with local law?
FLBR1.10	Does your facility employ young workers (over the local legal minimum age but under 18)?
FLBR1.11	What percentage of your total workforce is under 18?
FLBR1.12	Does your facility ensure that workers under age 18, even if over the legal minimum age, do not perform any overtime, night work or hazardous work?
FLBR1.13	What are the average weekly work hours of the busiest workers in your facility?
FLBR1.14	Do all your workers have regular rest days (at least one day off every seven-days)?

FLBR1.15	Do all of your workers have regular breaks or are they allowed to rest when they choose during their working hours?
FLBR1.16	On what basis do workers accept overtime work?
FLBR1.17	Are the wages and benefits for ANY worker at your facility less than the legal minimums OR if there is no legal minimum is it less than industry standard?
FLBR1.18	Are any of your workers paid according to a piece rate?
FLBR1.19	Do you pay workers for overtime hours above the base wage rate?
FLBR1.20	Do you have procedures to ensure that base wage, overtime, and other wages are calculated correctly, AND only lawful deductions are made?
FLBR1.21	Are wage calculations clearly communicated to workers using a pay stub or similar documentation?
FLBR1.22	Does your facility use fines or pay deductions as a disciplinary measure?
FLBR1.24	Are workers permitted time off for medical needs?
FLBR1.26	Do your facility's job postings include statements of non-discrimination and are they free from any criteria which would be discriminatory?
FLBR1.27	Is your facility equipped with accommodations for Disabled persons (e.g. access to worksites, use of toilets, elevators, cafeteria, etc.)?
FLBR1.28	Does your facility conduct medical testing of job applicants prior to hiring or promotions, other than for local legal requirements or routine drug tests?
FLBR1.29	During the last 12 months, were any workers asked to leave the company, fired, moved to a lower paying job, or demoted due to medical or maternity leave?
FLBR1.30	Are there any facility imposed restrictions or prohibitions, other than by the requirements of country or local laws, concerning workers creating or joining any labor organizations in your facility?
FLBR1.31	Do workers at your facility participate democratically in the selection of representatives for labor organizations?
FLBR1.32	During the last 12 months, were any workers disciplined or in any way penalized for joining, refusing to join, or quitting any organization?
FLBR1.33	Do you have any of these types of labor organizations present: Independent Trade Union, Government Union, other external employee representation organization?
FLBR1.34	Notes and Comments on any question in this section: (answer required, if none enter N/A)
FLBR1.35	How much are the fees paid by the worker?
FLBR1.36	Who is responsible for safekeeping of travel documents (e.g. passport or visa) for foreign and migrant workers at your facility?
FLBR1.37	Prior to hiring and/or job offering does your facility require job applicants to provide or disclose ANY of the following: Ethnic Origin, Religion, Political Affiliation, Marital Status, Pregnancy Status, Sexual Orientation, Gender Identity and Expression, National Origin, Covered Veteran's Status, Protected Genetic Information, Medical History, Physical Disability, Union Membership Information?
FLBR1.38	Does your facility allow workers the right to peaceful assembly?
FLBR1.39	Does your facility allow employees to Bargain Collectively?
FLBR1.40	Does your Facility have a Collective Bargaining Agreement in place?
FLBR1.23	Does your facility investigate causes of employee misconduct and apply such remedies as discussion, explanation, training, progressive discipline, etc.; before using job or grade demotion, suspension, or termination as a disciplinary method?
FLBC - LABOR CONTROL ELEMENTS	
FLBC1.1	Is a management representative assigned responsibility for assuring and facilitating compliance with current LABOR laws, regulations and codes for this facility?
FLBC1.2	Name of management representative:
FLBC1.3	Position or Title:
FLBC1.4	Email:
FLBC1.5	Does your facility adhere to a written LABOR policy (or statement of commitment) endorsed by senior management that includes all the RBA Code LABOR elements: Freely Chosen Employment, Child Labor Avoidance, Working Hours, Wages & Benefits, Humane Treatment, Non-Discrimination and Freedom of Association?
FLBC1.6	How will you make the LABOR policy available?
FLBC1.8	Please provide contact name and email address and/or URL:
FLBC1.9	Which of the seven (7) RBA Code LABOR elements are NOT included?
FLBC1.10	Has your facility implemented a SUPPLIER code of conduct that covers LABOR standards including all the RBA Code LABOR elements: Freely Chosen Employment, Child Labor Avoidance, Working Hours, Wages & Benefits, Humane Treatment, Non-Discrimination, and Freedom of Association?
FLBC1.11	Do you place a contractual requirement on your SUPPLIERS (including labor agencies) to be in compliance with current LABOR laws, regulations, or codes of conduct?
FLBC1.12	Has your facility implemented a policy stating that government issued identification and personal documentation are not to be held by the company?
FLBC1.13	Has your facility implemented a program to monitor your supply chain for forced or bonded labor (including debt bondage) or exploitative indentured labor, involuntary prison labor, slavery, or trafficking of persons?
FLBC1.13a	Do you monitor your supply chain for the use of any workers that are seeking asylum?
FLBC1.13b	Please provide information about the nationality of the asylum seeking workers
FLBC1.14	Has your facility implemented a policy and procedure allowing workers to resign without penalty after giving no more than 30 days notice?
FLBC1.15	Do you review or require copies of documentation from workers to verify that they are of Legal working age before they begin work?

FLBC1.16	Does your facility have a system or documented procedure for discovering workers that may be below minimum age and taking corrective actions (Including policy to assist underage workers found working in the facility)?
FLBC1.17	Is there a policy and procedure in place at your facility to ensure access to educational needs for workers below the age for compulsory education?
FLBC1.18	Has your facility implemented a policy prohibiting the employment of workers under the age of 15 (or older per your or your customers local regulatory requirements)?
FLBC1.19	Has your facility implemented a system and/or documented procedure to verify that your suppliers do not use under-age workers under the age of 15 (or older per your or your customers or regulatory requirements)?
FLBC1.20	Does your facility place a limit on the number of hours that workers can work for the following: Per Day / Week / Month?
FLBC1.21	Is there a policy on legal regular hours, overtime, and facility working hours that is communicated to all workers?
FLBC1.22	Do you have a process to track and act accordingly when workers are approaching the legal working hour limits or 60 hours/week (whichever is lower)?
FLBC1.23	Are records on workers' regular and overtime working hours kept on a daily basis and retained for at least 12 months?
FLBC1.24	Do your workers review for accuracy and approve the hours they worked for each pay period in the native language(s) of the workers or language(s) which the workers understand
FLBC1.26	Do you have a method for establishing worker wages to be based on the type of work, consistent with market wages, and compliant with the legal minimum wage?
FLBC1.27	Do you have procedures to ensure that payment to workers and government programs is not delayed or withheld AND proof of payment records are maintained?
FLBC1.29	Has your facility implemented and does it communicate in the native language(s) of the workers or language(s) which the workers understand, policies that describe acceptable worker conduct, expectations, and disciplinary measures where those principles are not complied with?
FLBC1.29a	Do you have a policy that prohibits contract substitution or change(s) allowed in the employment agreement upon arrival in the receiving country unless these changes are made to meet local law and provide equal or better terms?
FLBC1.30	Are managers and supervisors trained on the acceptable worker practices and disciplinary measures?
FLBC1.31	If employees or workers violate company policies, does your facility management have a procedure for issuing warnings to them, taking a progressive approach?
FLBC1.32	Has your facility implemented procedures for prevention of harassment, coercion, threatening behavior, physical abuse or punishment, sexual abuse, or verbal abuse towards workers?
FLBC1.33	Does your facility have a process for workers to confidentially report cases of harassment, coercion, threatening behavior, physical punishment or abuse, sexual or verbal abuse and are these recorded and investigated?
FLBC1.35	Are records kept and periodically reviewed to confirm adherence to these guidelines?
FLBC1.36	Do you communicate and conduct training on non-discrimination guidelines to all workers, supervisors, and managers?
FLBC1.37	Is there a policy permitting employees to perform religious obligations without restriction AND is it practiced / allowed?
FLBC1.38	Other than through a labor organization, does your facility have an active ongoing process for workers to communicate openly with each other and with management regarding their collective views and interests?
FLBC1.39	Is there a policy, that is communicated and trained on, stating that workers at your facility are free to join labor organizations or trade unions or other collective bargaining organizations of their choice, where country or local laws do not prohibit it?
FLBC1.40	Is there a policy in place prohibiting the facility from interfering with or attempting to control the labor organization or trade union in any way?
FLBC1.41	Are workers informed if they are automatically enrolled in a labor organization or trade union?
FLBC1.42	Notes and Comments on any question in this section: (answer required, if none enter N/A)
FLBC1.43	Do you have written policies and guidelines to prevent discrimination in hiring, promotion, equal pay, benefits, and training based on race, color, age, gender, sexual orientation, gender identity and expression, ethnicity or national origin, disability, pregnancy, religion, political affiliation, union membership, covered veteran status, protected genetic information or marital status?
FLBC1.25	Do you provide all workers upon hire in a language(s) that they can easily understand, a written description of employment policies including: method for calculating wages, terms of payment and government deductions, employer-provided housing and meals, and disciplinary fines?
FLBC1.28	Do you have procedures for verifying and continually monitoring the workforce recruiter's or employment agencies' €™ compliance to ensure that they are not charging or deducting fees from workers, not holding passports, providing safe housing where applicable, and wages and deductions conform to local and national laws?
FLBM - LABOR MANAGEMENT SYSTEMS	
FLBM1.1	Does your facility utilize a management systems approach (including policies, programs, procedures, and review processes) to assure proper management of LABOR practices?
FLBM1.2	Please name, explain, or describe the type of certificate and certifying body:
FLBM1.3	Expiration Date:
FLBM1.4	On what system or standard is it modeled?
FLBM1.5	To what extent are your LABOR management system(s) documented?
FLBM1.6	When was the most recent LABOR management systems reviewed for current status and possible improvement opportunities?
FLBM1.7	Does your facility monitor LABOR laws and regulations that apply to your facility?

FLBM1.8	Does your facility have written performance objectives for LABOR practices, including metrics and targets with implementation plans for achieving those objectives?
FLBM1.9	When did your facility review performance against LABOR objectives and targets?
FLBM1.10	When did your facility conduct a risk assessment to identify (including root cause determination), prioritize, and mitigate the potential LABOR risks associated with your operations and activities?
FLBM1.11	When did your facility conduct an audit of LABOR practices in order to assess conformance with regulatory requirements, internal facility requirements, appropriate external codes of conduct and other requirements?
FLBM1.12	Are LABOR records maintained according to a documented record retention schedule that aligns with applicable regulations and company policy?
FLBM1.13	When was the last training of ALL employees on acceptable LABOR practices in a language(s) all workers can easily understand?
FLBM1.14	Has your facility implemented a program to assess risks and manage the identified risks relating to the LABOR practices of your SUPPLIERS (including any contractors or labor agents)?
FLBM1.15	Is information about the facility LABOR performance practices and expectations communicated to workers, customers, and suppliers?
FLBM1.17	Notes and Comments on any question in this section: (answer required, if none enter N/A)
FLBM1.18	When was the last time your facility received a LABOR practices audit or assessment by a customer or other external organization at this facility?
FLBM1.19	Has your company identified a senior executive and company representatives to ensure implementation of your LABOR policy and achievement of LABOR objectives?

HEALTH & SAFETY

FHSR - HEALTH & SAFETY RISK ELEMENTS

FHSR1.1	During the past 3 years, has the facility received a notification of, been prosecuted, or cited for any HEALTH and SAFETY violations resulting in penalties or corrective actions mandated by a court or government authority?
FHSR1.2	Describe the nature of the notice, who it is from and the corrective actions taken
FHSR1.3	Are all required permits, licenses and required testing for HEALTH and SAFETY In Place and current?
FHSR1.4	Does the potential exist that your workers come in contact with flammable or corrosive substances, chemical or biological agents, harmful emissions or lasers?
FHSR1.6	Does the potential exist for your workers to come in direct contact with unprotected energized electrical circuits?
FHSR1.7	Do your workers need to work on or around high-pressure vessels, powered industrial vehicles or dangerous machinery?
FHSR1.8	Does the potential exist for your workers to enter a confined space (an area whose enclosed conditions and limited access would make an emergency exit difficult)?
FHSR1.9	Does the potential exist for workers to be working from heights?
FHSR1.10	Are all your permits, test reports, certificates and licenses related to Occupational Safety and Machine Safeguarding current and in full compliance?
FHSR1.11	Are the emergency exits clearly and properly marked, maintained, unlocked, and free from blockage at all times?
FHSR1.12	Has your facility installed and maintained effective emergency detection and alarm systems to address all building areas?
FHSR1.13	Are all emergency supplies placed in proper locations at the facility for immediate use?
FHSR1.14	During the last 12 months, were there any fires, explosions, industrial accidents, hazardous releases outside of secondary containment at your facility that resulted in serious injury, fatality, environmental releases, or property damage?
FHSR1.16	Do you have operations in a multi story building?
FHSR1.17	Is there a warehouse, manufacturing assembly, or storage of any kind above the ground floor?
FHSR1.17a	Is there manufacturing assembly, manufacturing machinery or heavy storage of any kind above the ground floor level ?
FHSR1.18	Are any of your workers performing physically demanding work?
FHSR1.19	Does your facility have a program, providing appropriate tools and equipment, etc., to control worker exposure to physically demanding work to prevent work-related INJURIES?
FHSR1.20	Does your facility have written guidance that defines and classifies different types of work-related INJURIES or ILLNESSES?
FHSR1.22	In the last 12 months did any work-related INJURIES/ILLNESSES occur at your facility?
FHSR1.23	In the last 12 months did any work-related FATALITIES occur at your facility?
FHSR1.25	Are your workers required to live in this housing?
FHSR1.26	Does your facility allow workers to freely leave the facility or housing area while off shift?
FHSR1.27	Does your facility impose a curfew on workers living in this housing?
FHSR1.28	What is the average number of persons per 10 square meters in the housing?
FHSR1.29	Are workers provided with extra living space in addition to their beds?
FHSR1.30	Are beds shared between day and night shift workers?
FHSR1.31	Does the housing provide: Safe drinking water?
FHSR1.32	Does the housing provide: Sanitary toilet facilities?
FHSR1.33	Does the housing provide: Fire detection AND alarm systems?
FHSR1.34	Does the housing provide: Adequate ventilation AND heating?
FHSR1.34a	Does the housing provide: Adequate lighting?
FHSR1.35	Does the housing provide: Clearly and properly marked exits that are unblocked AND unlocked at all times?
FHSR1.36	Does the housing provide: Secure storage for personal belongings?
FHSR1.37	Does your facility provide or contract for canteen services for workers?
FHSR1.38	Does the canteen provide: Safe drinking water?

FHSR1.39	Does the canteen provide: Clean and sanitary food storage?
FHSR1.40	Does the canteen provide: Clean and sanitary food preparation?
FHSR1.41	Does the canteen provide: Health standards for food handlers including required food handling certification?
FHSR1.42	Does the canteen provide: Health and nutrition standards for food offerings?
FHSR1.43	Notes and Comments on any question in this section: (answer required, if none enter N/A)
FHSR1.44	Does the potential exist for your workers to be exposed to extreme temperatures?
FHSR1.45	Does the potential exist for your workers to be exposed to extreme noise?
FHSR1.24	Does your facility provide housing for its workers (dormitory or worker housing, hostels, apartments or any other form of living quarters) directly or through the government, a labor agent, contractor or other 3rd party?
FHSR1.24a	How many people live in this house?
FHSR1.24b	What type of housing or living quarters are provided?
FHSC - HEALTH & SAFETY CONTROL ELEMENTS	
FHSC1.1	Is a management representative at this facility assigned responsibility for assuring compliance with current HEALTH and SAFETY laws, regulations and codes?
FHSC1.2	Name of management representative:
FHSC1.3	Position or Title:
FHSC1.4	Email:
FHSC1.5	Has your facility implemented written HEALTH & SAFETY policies and procedures which is endorsed by senior management that includes all the RBA Code HEALTH & SAFETY elements: Occupational Safety; Emergency Preparedness; Occupational Injury and Illness; Industrial Hygiene; Physically Demanding Work; Machine Safeguarding; Sanitation, Food and Housing?
FHSC1.6	Are your HEALTH and SAFETY policies and procedures posted and communicated clearly to workers in the language(s) understood by the workers?
FHSC1.7	How will you make the HEALTH and SAFETY policies available?
FHSC1.9	Please provide contact name and email address and/or URL:
FHSC1.10	Which of the eight (8) RBA Code HEALTH & SAFETY elements are NOT included?
FHSC1.11	Has your facility implemented a SUPPLIER code of conduct that covers HEALTH & SAFETY standards including all the RBA Code HEALTH & SAFETY elements: Occupational Safety; Emergency Preparedness; Occupational Injury and Illness; Industrial Hygiene; Physically Demanding Work; Machine Safeguarding; Sanitation, Food and Housing, Health and Safety Communication?
FHSC1.11a	Do you have an ongoing process to identify, assess and control potential worker exposure to safety hazards (e.g. chemical, electrical and other energy sources, fire, vehicles, and fall hazards)?
FHSC1.11b	Does it follow the Hierachy of Controls approach to focus first on proper design, then engineering and finally administrative controls (including PPE), preventative maintenance and safe work procedures (including lockout/tag out)?
FHSC1.12	Do you place a contractual requirement on your SUPPLIERS (including any contractors or labor agents) to be in compliance with current HEALTH and SAFETY laws, regulations, or codes of conduct?
FHSC1.15	You noted that the potential exists for your workers to come in direct contact with unprotected energized electrical circuits. Are all workers who come into contact with unprotected energized electrical circuits fully certified or qualified to work on electrical issues and employ a lock-out tag-out approach when appropriate?
FHSC1.16	You noted that your workers need to work on or around high-pressure vessels, powered industrial vehicles, or dangerous machinery. Do you have documented and implemented procedures in place for safeguarding workers from potential hazards related to ALL of the conditions occurring at your facility?
FHSC1.17	You noted that the potential exists for your workers to enter a confined space. Are the confined spaces properly marked, have only restricted access and do workers know how and when to enter them safely?
FHSC1.18	You noted that the potential exists for workers to be working from heights. Is fall protection equipment in all of the appropriate places and safety gear used by workers in all appropriate cases?
FHSC1.19	Do you provide mandatory occupational and process safety instructions to workers, including operating machines safely, proper machine maintenance, materials handling, understanding MSDS / SDS (Material Safety Data Sheets) in a language that all workers can easily understand?
FHSC1.20	Has your facility identified, assessed, and implemented preparedness systems/procedures for potential emergencies such as process failures, accidents, storms, floods, or other events that could pose a threat to workers, the community, and the environment?
FHSC1.21	Are all employees instructed in a way they can understand on how to respond in case of fire or other emergencies including an annual drill of all shifts in all buildings?
FHSC1.22	Is your facility equipped with fire and or chemical emergency detection and suppression system?
FHSC1.23	Are fire and emergency instructions for workers posted in convenient locations at the facility in a language(s) that all workers can easily understand?
FHSC1.24	Does your management encourage workers to report all work-related INJURIES or ILLNESSES?
FHSC1.25	Are there properly trained and equipped medical emergency responders at your facility?
FHSC1.26	Does your facility have a program to provide regular medical examinations for workers to detect any symptoms of work-related ILLNESSES or INJURIES?
FHSC1.27	You noted work-related INJURIES/ILLNESSES occurred at your facility in the last 12 months. Was root cause analysis conducted and corrective action taken, including appropriate documentation?
FHSC1.28	You noted that your facility provides housing for workers. Does your facility have a process to assure that the housing facilities are in compliance with company standards and local health and safety codes, including maintenance, inspection, and corrective actions if deficiencies are identified?
FHSC1.29	You noted that your facility provides canteen services for workers. Does your facility have a process to assure that your canteen facilities are in compliance with company standards and local health and safety codes, including maintenance, inspection, and corrective action if deficiencies are identified?
FHSC1.30	Does your facility utilize or have on site HEALTH and SAFETY technical specialists such as industrial hygienists?
FHSC1.31	Please specify what types of specialists:

FHSC1.32	Notes and Comments on any question in this section: (answer required, if none enter N/A)
FHSC1.33	You noted that the potential exists for your workers to be exposed to flammable or corrosive substances, biological agents, lasers or harmful emissions. Does your facility provide adequately maintained engineering controls AND is Personal Protective Equipment (PPE) provided for free to these workers and is it in good working condition?
FHSC1.34	You noted that the potential exists for your workers to be exposed to extreme temperatures. Is PPE provided for free to these workers and is it in good working condition?
FHSC1.35	You noted that the potential exists for your workers to be exposed to extreme noises. Is PPE provided for free to these workers and is it in good working condition?
FHSC1.260	Does your facility have a program to conduct medical examinations of young workers to ensure they are fit for the work?
FHSM - HEALTH & SAFETY MANAGEMENT SYSTEMS	
FHSM1.1	Does your facility utilize a management systems approach (including policies, programs, procedures, and review processes) to assure proper management of HEALTH and SAFETY practices?
FHSM1.2	Please name, explain or describe the type of certificate and certifying body:
FHSM1.3	Expiration Date:
FHSM1.4	On what system or standard is it modeled?
FHSM1.5	To what extent are HEALTH and SAFETY management system(s) documented?
FHSM1.6	When was the most recent HEALTH and SAFETY management system reviewed for current status and possible improvement opportunities?
FHSM1.7	Does your facility monitor HEALTH and SAFETY laws and regulations that apply to your facility?
FHSM1.8	Does your facility have written performance objectives for HEALTH and SAFETY practices and results, including metrics and targets with implementation plans for achieving those objectives?
FHSM1.9	When did your facility review HEALTH and SAFETY performance against these objectives and targets?
FHSM1.10	When did your facility conduct a risk assessment process to identify, conduct root cause, prioritize, and mitigate the potential HEALTH and SAFETY risks associated with your operations and activities?
FHSM1.11	When did your facility conduct an audit of HEALTH & SAFETY practices in order to assess conformance with regulatory, internal and other requirements?
FHSM1.12	Are HEALTH and SAFETY records maintained according to a documented record retention schedule that aligns with applicable regulations and company policy?
FHSM1.13	When was the last training of ALL employees on acceptable HEALTH and SAFETY practices in a language(s) all workers can easily understand?
FHSM1.13a	When is initial training provided to ALL employees on acceptable HEALTH and SAFETY practices in a language(s) all workers can easily understand?
FHSM1.14	Has your facility implemented a program to assess risks and manage the identified risks relating to the HEALTH and SAFETY practices of your SUPPLIERS?
FHSM1.15	Does your facility communicate information about its HEALTH and SAFETY performance practices and expectations to external groups?
FHSM1.17	Notes and Comments on any question in this section: (answer required, if none enter N/A)
FHSM1.18	When was the last time your facility received a HEALTH and SAFETY practices audit or assessment by a customer or other external organization at this facility?
FHSM1.19	Has your company identified a senior executive and company representatives to ensure implementation of your HEALTH and SAFETY policy and achievement of HEALTH and SAFETY objectives?

ENVIRONMENTAL

FENR - ENVIRONMENTAL RISK ELEMENTS

FENR1.1	During the past 3 years, has the facility received a notification of, been prosecuted, or cited for any ENVIRONMENTAL violations resulting in penalties or corrective actions mandated by a court or government authority?
FENR1.2	Does your facility perform activities or handle materials that require an environmental permit (i.e., wastewater, hazardous waste, air emissions, treatment, storage, disposal, etc.)?
FENR1.3	During the last 12 months, was your facility cited or warned by a government agency regarding regulatory or permit/license non-compliance?
FENR1.4	Please describe the nature of the citation and the resulting actions taken.
FENR1.5	Does your facility store and/or use hazardous materials (flammable, corrosive, toxic, reactive, etc.) for any reason?
FENR1.6	Does your facility use any hazardous materials in volumes that require storage or use permits?
FENR1.7	In the past 3 years, have you received a notice of violation or penalty for non-compliance of these permits?
FENR1.8	Do you have chemicals at your facility that are stored outside or in uncovered areas?
FENR1.9	Do the chemical storage areas at your facility have secondary containment for all chemicals?
FENR1.10	Does your facility store any of the following in underground tanks: hazardous, flammable or corrosive chemicals?
FENR1.11	Does your facility generate hazardous wastes in volumes that require storage or use permits?
FENR1.12	Are the following methods of hazardous waste management used by your facility: Onsite waste treatment?
FENR1.13	Onsite long-term (longer than one year) storage?
FENR1.14	Discharge to ground or water (e.g. pond)?
FENR1.15	Collection and transfer to a licensed hazardous waste management facility?
FENR1.16	What type of wastewater is generated at your facility?
FENR1.17	Does your facility treat wastewater onsite in any way?
FENR1.18	In the last 2 years, did you receive any notice of violation from authorities regarding waste water treatment, discharge or release?
FENR1.18a	For Yes or Partial, please provide Notes/ Comments

FENR1.19	Does your facility dispose of non-hazardous waste at your facility?
FENR1.20	Does your facility dispose of non-hazardous waste at a public non-hazardous waste facility?
FENR1.21	Does your facility dispose of non-hazardous waste using properly licensed third party waste management / disposal firms, approved by local authorities?
FENR1.22	How does your facility handle excess or obsolete non-hazardous materials and/or parts?
FENR1.23	Does your facility generate air emissions?
FENR1.24	Are all air emissions currently within the regulated discharge limits?
FENR1.25	Are all noise levels at the facility currently within regulatory limits?
FENR1.26	Has your facility implemented programs and/or procedures to phase out controlled materials from its product within a specified time period, consistent with international legislation on restriction of hazardous substances?
FENR1.27	During the last 12 months, have any of your facilities products been rejected by the buyer or banned from any market as a result of the use of controlled materials?
FENR1.28	Please describe these incidents and Corrective Actions taken:
FENR1.29	Has your facility implemented programs and/or procedures to assure proper information disclosure for your products, including material composition and product safety information?
FENR1.30	Does your facility have a program to facilitate recovery of discarded products, components, or materials at the end of their useful life (product take-back)?
FENR1.31	Notes and Comments on any question in this section: (answer required, if none enter N/A)
FENR1.32	Does your facility release any Chlorofluorocarbons (CFCs), Sulfur Hexafluoride (SF6) or other significant non-hydrocarbon greenhouse gas emissions from your facility?
FENC - ENVIRONMENTAL CONTROL ELEMENTS	
FENC1.1	Is a management representative at this facility assigned responsibility for assuring and facilitating compliance with current ENVIRONMENTAL laws, regulations and codes?
FENC1.2	Name of management representative:
FENC1.3	Position or Title:
FENC1.4	Email:
FENC1.5	Does your facility adhere to a written ENVIRONMENTAL policy (or statement of commitment) endorsed by senior management that includes all the RBA Code ENVIRONMENTAL elements: Environmental Permits & Reporting; Pollution Prevention and Resource Reduction; Hazardous Substances; Solid Waste; Air Emissions; Materials Restrictions, Water Management, and Energy Consumption and Greenhouse Gas Emissions?
FENC1.6	Are your ENVIRONMENTAL policies and procedures communicated clearly to workers in a language(s) that all workers can easily understand?
FENC1.7	How will you make the ENVIRONMENTAL policy available?
FENC1.9	Please provide contact name and email, and/or URL.
FENC1.10	Which of the six (6) RBA Code ENVIRONMENTAL elements are NOT included?
FENC1.11	Has your facility implemented a SUPPLIER code of conduct that covers ENVIRONMENTAL standards including all the RBA Code ENVIRONMENTAL elements: Environmental Permits & Reporting; Pollution Prevention and Resource Reduction; Hazardous Substances; Solid Waste; Air Emissions; Materials Restrictions, Water Management, and Energy Consumption and Greenhouse Gas Emissions?
FENC1.12	Do you place a contractual requirement on your SUPPLIERS (including contractors) to be in compliance with current ENVIRONMENTAL laws, regulations, or codes of conduct?
FENC1.13	Does your facility have a program and/or procedures for obtaining environmental permits/approvals and managing compliance with the permit requirements?
FENC1.14	Are your facility operations currently in compliance with all local and national monitoring, reporting, and permit/approval requirements?
FENC1.15	Does your facility have a program and/or procedures including record keeping and metrics to systematically reduce or eliminate pollution and waste in your operations?
FENC1.16	Does your facility have a program and/or procedures including record keeping and metrics to systematically track and reduce the use of energy, water, and other resources in your operations?
FENC1.16a	Do you have a program to track and reduce or eliminate the use of natural resources, including water fossil fuels, minerals and virgin forest products?
FENC1.17	You noted that your facility stores and/or uses hazardous materials. When did the workers who handle hazardous materials last receive the appropriate training?
FENC1.18	You noted that your facility generate hazardous wastes in volumes that require storage or use permits. Does your facility have a program and/or procedures for management of hazardous wastes, including monitoring, characterization, treatment or conversion, and disposal?
FENC1.19	You noted that there is collection and transfer of hazardous waste to a licensed management facility. When did you last audit the hazardous waste management facility that collects and transfers your hazardous waste?
FENC1.20	You noted that waste water is generated at your facility. Does your facility have a program and/or procedures for management of wastewater, including monitoring, characterization, treatment, discharge, and/or recycling?
FENC1.21	Does your facility have a program and/or procedures for management of non-hazardous waste (e.g. office waste, trash), including collection, separation, disposal, and/or recycling?
FENC1.22	You noted that your facility generates air emissions. Does your facility have a process to identify, characterize, monitor and control all air emissions from your facility in accordance with country/local regulations?
FENC1.23	You noted that your facility generates air emissions. Are engineering controls (oxidizer, scrubber, precipitator, etc.) required for any reason to safely manage air emissions from your facility?
FENC1.24	Please specify the controls you use:
FENC1.25	Do you have a preventive maintenance schedule to ensure proper operation of air emission controls?

FENC1.27	Has your facility implemented programs and/or procedures to determine the quantities of controlled materials (e.g. lead, mercury, cadmium, CFCs, flame retardants) in your products and any material you purchase (to be compliant with regulatory and customer requirements)?
FENC1.27a	Do you have a program to track and document all relevant Scope 1 and Scope 2 emissions?
FENC1.27b	Do you have a program to reduce or eliminate emissions and discharges of pollutants and generation of waste?
FENC1.28	Does your facility utilize or have on site ENVIRONMENTAL technical specialists such as pollution control or waste management engineers?
FENC1.29	Please specify what types of specialists:
FENC1.30	Has your facility implemented programs and/or procedures to ensure that your SUPPLIERS are in compliance with product content restrictions?
FENC1.31	Notes and Comments on any question in this section: (answer required, if none enter N/A)
FENC1.32	Does your facility have a stormwater management plan in place to prevent stormwater contamination from chemicals and other materials used at your facility?
FENC1.33	Does your facility have a program to inventory, reduce, and report the emissions of Scopes 1 and 2 greenhouse gasses (GHGs) from your operations?
FENC1.34	Does your facility translate energy use into greenhouse gas emissions at the facility level?

FENM - ENVIRONMENTAL MANAGEMENT SYSTEMS

FENM1.1	Does your facility utilize a management systems approach (including policies, programs, procedures, and review processes) to assure proper management of ENVIRONMENTAL practices?
FENM1.2	Please name, explain or describe the type of certificate and certifying body:
FENM1.3	Expiration date:
FENM1.4	On what system or standard is it modeled?
FENM1.5	To what extent is the above ENVIRONMENTAL management system(s) documented?
FENM1.6	When was the most recent ENVIRONMENTAL management systems review?
FENM1.7	Does your facility monitor ENVIRONMENTAL laws and regulations that apply to your facility?
FENM1.8	Does your facility have written performance objectives for ENVIRONMENTAL practices and results, including metrics and targets with implementation plans for achieving them?
FENM1.9	When did your facility review ENVIRONMENTAL performance against these objectives and targets?
FENM1.10	When did your facility implement a risk assessment process to identify, conduct root cause, prioritize, and mitigate the potential ENVIRONMENTAL risks associated with your operations and activities?
FENM1.11	When did your facility last conduct an audit of ENVIRONMENTAL practices in order to assess conformance with regulatory and other requirements?
FENM1.12	Are Environmental records maintained according to a documented record retention schedule that aligns with applicable regulations and company policy?
FENM1.13	When was the last training for ALL employees on acceptable ENVIRONMENTAL practices in a language(s) all workers can easily understand ?
FENM1.14	Has your facility implemented a program to assess risks and manage the identified risks relating to the ENVIRONMENTAL practices of your SUPPLIERS (including any contractors)?
FENM1.15	Does your facility communicate information about its ENVIRONMENTAL performance practices and expectations to external groups?
FENM1.17	Notes and Comments on any question in this section: (answer required, if none enter N/A)
FENM1.18	When was the last time your facility received an ENVIRONMENTAL practices audit or assessment by a customer or other external organization at this facility?
FENM1.19	Has your company identified a senior executive and company representatives to ensure implementation of your ENVIRONMENTAL policy and achievement of ENVIRONMENTAL objectives?

ETHICS

FETR - ETHICS RISK ELEMENTS

FETR1.1	During the past 3 years, has the facility been prosecuted or cited for labor or ETHICS violations resulting in penalties or corrective actions mandated by a court or government authority?
FETR1.2	During the last 12 months, how many confidential notifications regarding ethical or legal violations were investigated at your facility?
FETR1.3	Does your company agree to not pay or give anything of value to any government official or 3rd party for the purpose of improperly influencing any official decision or process?
FETR1.4	Do you have a system in place to allow anonymous reporting of Ethical concerns or Ethics Violations concerns?
FETR1.5	Has your facility implemented a process for independently investigating reports of ethical or legal misconduct and for taking disciplinary actions?
FETR1.6	Is management held accountable for labor, ethics, environmental, and health & safety in the facility?
FETR1.7	Notes and Comments on any question in this section: (answer required, if none enter N/A)
FETR1.8	Does your company agree to not offer, give, or accept anything of value to obtain or retain business or influence a decision?

FETC - ETHICS CONTROL ELEMENTS

FETC1.1	Is a management representative or an ethics and compliance officer assigned responsibility for assuring and facilitating compliance with current business ETHICS laws, regulations and codes (e.g. bribery, corruption, etc.) for this facility?
FETC1.2	Name of management representative:
FETC1.3	Position or Title:
FETC1.4	Email:

FETC1.5	Has your facility implemented a written ETHICS code of conduct or business integrity policy which is endorsed by senior management that includes all the RBA Code of Conduct ETHICS elements: Business Integrity, Prohibition of payment of Bribes, Extortion and Embezzlement; Disclosure of Information; Intellectual Property; Fair Business, Advertising and Competition; Protection of Identity and Non-Retaliation; Responsible Sourcing of Minerals; Privacy ?
FETC1.6	Are your ETHICS policies and procedures communicated clearly to workers in a language(s) that all workers can easily understand?
FETC1.7	How will you make the ETHICS policy available?
FETC1.9	Please provide contact name and email address and/or URL:
FETC1.10	Which of the eight (8) RBA Code of Conduct ETHICS elements are NOT included?
FETC1.11	Has your facility implemented a SUPPLIER code of conduct that covers ETHICS standards including all the RBA Code of Conduct ETHICS elements: Prohibition of payment of Bribes, Extortion and Embezzlement; Disclosure of Information; Intellectual Property (including using software license compliance); Fair Business, Advertising and Competition; Protection of Identity and Non-Retaliation; Responsible Sourcing of Minerals; Privacy?
FETC1.12	Do you place contractual requirements on your SUPPLIERS (including any contractors or labor agencies) to be in compliance with current ETHICS laws, regulations, or codes of conduct?
FETC1.13	Has your facility implemented a program and/or procedures to uphold all of the RBA Code of Conduct ETHICS elements: Business Integrity (corruption, extortion, embezzlement, conflict of interest); No Improper Advantage (bribery, excessive gift-giving); Disclosure of Information; Intellectual Property (including software compliance license compliance), Fair Business, Advertising and Competition; Protection of Identity and Non-Retaliation, Responsible Sourcing of Minerals; Privacy?
FETC1.14	Which of the eight (8) ETHICS elements are NOT included?
FETC1.15	Does your facility have a program and/or procedures to detect, eliminate, and prohibit situations in which managers or workers have a potential conflict between the company's interests and their own?
FETC1.16	Has your facility implemented a program and/or procedures to ensure accurate disclosure of information regarding business activities, structure, financial situation, and performance in accordance with applicable regulations?
FETC1.17	Does a program and/or procedures exist to assure non-disclosure of sensitive or confidential information about customers, channel partners, suppliers, workers, and other business partners as required by law or your contracts with the listed parties?
FETC1.18	Has your facility implemented a program and/or procedures to ensure that required standards of fair business, including advertising and competitive marketing, are upheld?
FETC1.19	Has your facility implemented a written procedure for workers to report about discrimination, ethical violations, harsh treatment, or other issues without threat of reprisals?
FETC1.20	Has your facility implemented a program and/or procedures to allow workers to submit grievances anonymously if they so choose and protect the identity of workers that report suspected cases of ethical or legal misconduct?
FETC1.21	Has your facility implemented programs/procedures to uphold RBA Code of Conduct ETHICS elements on suppliers, contractors, or agents representing the facility: Business Integrity; No Improper Advantage; Disclosure of Information; Intellectual Property, Fair Business, Advertising, and Competition; Protection of Identity and Non-Retaliation; Responsible Sourcing of Minerals; Privacy ?
FETC1.22	Are the cases tracked and then results shared with workers at a summary level (without disclosing individuals involved)?
FETC1.23	Is there active ongoing communications to employees on key ETHICS topics and the code of conduct or business integrity policy to all employees in a language(s) all workers can easily understand?
FETC1.24	How often does your facility provide formal training to employees on business ETHICS which includes training on all items in the code of conduct or business integrity policy and how to prevent and detect corruption in a language(s) all workers can easily understand?
FETC1.25	Who attends the training?
FETC1.26	Is there targeted ETHICS training for new hires within the first 90 days?
FETC1.27	Do your employees verify compliance to the Code or ETHICS policy?
FETC1.28	Is there a survey/process for understanding whether employees feel safe in raising labor, ethics, environmental, health & safety concerns in the facility?
FETC1.28a	Is there an ongoing processes, including grievance mechanism, to assess employees understanding of and obtain feedback on or violations against practices and conditions covered by the facility Code of Conduct and/or policies and agreements?
FETC1.29	Notes and Comments on any question in this section: (answer required, if none enter N/A)
FETM - ETHICS MANAGEMENT SYSTEMS	
FETM1.1	Does your facility utilize a management systems approach (including policies, programs, procedures, and review processes) to assure proper management of ETHICS practices?
FETM1.2	Please name, explain or describe the type of certificate and certifying body:
FETM1.3	Expiration Date:
FETM1.4	On what system or standard is it modeled?
FETM1.5	To what extent are your ETHICS management system(s) documented?
FETM1.6	When was the most recent ETHICS management systems reviewed for current status and possible improvement opportunities?
FETM1.7	Does your facility monitor ETHICS laws and regulations that apply to your facility?
FETM1.8	Does your facility have written performance objectives for ETHICS practices, including metrics and targets with implementation plans for achieving those objectives?
FETM1.9	When did your facility review performance against ETHICS objectives and targets?

FETM1.10	When did your facility conduct a risk assessment process to identify (including root cause determination), prioritize, and mitigate the potential Business ETHICS risks associated with your operations and activities including conformance with regulatory and legal requirements?
FETM1.11	When did your facility conduct an audit of ETHICS practices in order to assess conformance with regulatory, internal requirements, appropriate external codes of conduct and other requirements?
FETM1.12	Are ETHICS records maintained according to a documented record retention schedule that aligns with applicable regulations and company policy?
FETM1.13	When was the last training of ALL employees on acceptable ETHICS practices in a language(s) all workers can easily understand?
FETM1.14	Has your facility implemented a program to assess risks and manage the identified risks relating to the ETHICS practices of your SUPPLIERS (including any contractors or labor agencies)?
FETM1.15	Is information about the facility ETHICS performance, practices and expectations communicated to workers, customers and suppliers?
FETM1.17	Notes and Comments on any question in this section: (answer required, if none enter N/A)
FETM1.18	When was the last time your facility received an ETHICS practices audit or assessment by a customer or other external organization at this facility?
FETM1.19	Has your company identified a senior executive and company representatives to ensure implementation of your ETHICS policy and achievement of ETHICS objectives?