



Company Name : \_\_\_\_\_

Facility Name : \_\_\_\_\_

Core SAQ Type : **Corporate SAQ**

Core SAQ Version : **2021**

**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):
CI1.12	Please describe Other Manufacturing:
CI1.13	What is the principal Service based activities of your company? (To select multiple rows hold down the Ctrl key and click additional choices):
CI1.14	Please describe Other Services:
CI1.15	Which of the following best describes your company?
CI1.16	Is the government ownership or control GREATER THAN 20%?
CI1.17	Are there government officials or government employees on your Board of Directors or management/governing body?
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?
CLETMA1.4	Please list these awards:

CLETMA1.5	If your company incorporates tin, tungsten, tantalum or gold in your products, do you implement the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas?
CLETMA1.6	Notes and Comments on any question in this section: (answer required, If none enter N/A)
<b>CLETPP -- Labor and Ethics Policies and Procedures</b>	
CLETPP1.1	Does your company have a written LABOR policy (or statement of commitment)? (May be part of a combined labor and ethics policy)
CLETPP1.2	Please provide a website address, URL or contact email to obtain a copy of the policy or statement of commitment.
CLETPP1.3	Do all of your facilities communicate the LABOR policies in language(s) which the workers understand?
CLETPP1.4	Does your company have a written ETHICS policy (or statement of commitment)? (May be part of a combined LABOR and ETHICS policy)
CLETPP1.5	Please provide a website address URL or contact email to obtain a copy of the policy or statement of commitment.
CLETPP1.6	Do all of your facilities communicate the ETHICS policies in the native language(s) of the workers or language(s) which the workers understand?
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?
<b>CLETMS -- Labor and Ethics Management System Status</b>	
CLETMS1.1	Does your company utilize a management systems approach (including policies, goals, procedures, and review processes) to assure proper management of LABOR?
CLETMS1.2	Please name, explain, or describe the type of certificate and certifying body:
CLETMS1.3	When does it expire?
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?
CLETMS1.8	Please name, explain, or describe the type of certificate and certifying body:
CLETMS1.9	When does it expire?
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?
CLETMS1.14a	Does your company require all overtime to be voluntary in every country? If Collective Bargaining Agreements are in place, anything above the agreed upon "regular weekly working hours" must be voluntary
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)
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**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?
CHSEMA1.4	Please list these awards:
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?
CHSEMA1.6	Please provide details on any incident in the last 12 months:
CHSEMA1.6a	Do you have any documents related to the incident?
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?
CHSEMA1.1a	Does your company consider, and manage hazardous chemicals, in accordance with the Montreal Protocol ?

**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).
CHSEPP1.2	Please provide a website address, URL or contact email to obtain a copy of the policy or statement of commitment.
CHSEPP1.3	Do all of your facilities communicate the HEALTH & SAFETY policies in the language(s) of the workers?
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	Does your company have a company-wide GreenHouse Gas (GHG) Reduction goal?
CHSEPP1.9a	Please provide a website address, URL, or contact email to obtain a copy of the policy or statement of commitment.
CHSEPP1.9b	Does your company publicly report progress against the GHG reduction goal?
CHSEPP1.10	Notes and Comments on any question in this section: (answer required, If none enter N/A)

**CHSEMS -- 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?
CHEMS1.2	Please name, explain, or describe the type of certificate and certifying body:
CHEMS1.3	When does it expire?
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?
CHEMS1.8	Please name, explain, or describe the type of certificate and certifying body:
CHEMS1.9	When does it expire?
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?
CHEMS1.15	Does your company PUBLICALLY report these HEALTH & SAFETY objectives and metrics?
CHEMS1.16	Does your company track and review performance metrics/data for ENVIRONMENTAL Issues?
CHEMS1.17	Does your company PUBLICALLY report these ENVIRONMENTAL metrics?

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)