



**Risk Based Facility Self- Assessment Questionnaire**

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.

**Risk Questions**

<b>Labor</b>		
<b>Question Number</b>	<b>Question</b>	<b>Rating/Answer</b>
L1a	Do you employ migrant workers from foreign countries?	
L2a	Do you employ migrant workers from other provinces / regions within your country?	
L3	Do you allow workers in production roles to complete work at home, part-time, full-time, or as requested?	
L4	Do you use recruitment agencies and/or labor agencies?	
L5	Do you have workers employed at your facility who are on temporary contracts (6 months or less)?	
L6	Does your facility currently have worker roles that are unfilled due to labor shortages in your local area (or region)?	
L7	Is your facility located in a free trade zone?	
L8	In the last 12 months, has your facility been subject to a fine, penalty or legal judgement against it, regarding non-compliance with labor legal requirements?	
L9	Have you had a collective dismissal / layoff/reduction in workforce in the past 24 months?	
L10	Do all of your workers have written contracts of employment in their native language, or a language they can understand, which they have read and signed (prior to departing their habitual place of residence, in the case of migrant workers)"?	
L11	Who is in possession of workers' original documents (e.g. passport, official ID card)?	
L12	Do you have a policy that workers have access to their documents at all times?	
L13	Are any workers required to pay fees to your company (e.g. medical fees, fees for uniforms, travel/transportation fees, etc.), at any stage of recruitment, employment or upon termination?	
L14	Are any workers required to pay fees to recruitment agents or any third parties, during the process of recruitment for your company?	
L15	Do apprentices, students or interns participate in production processes?	
L17	What is your minimum hiring age?	
L18	What percentage of the workers who make your products or supply your services are 0-2 years older than the minimum legal working age in your country?	
L19	Are the products produced at your facility, or the services you provide, subject to large demand fluctuations (including seasonal fluctuations)? As a guide, fluctuations of over 20% from one month to another are considered 'large.'	
L20	Are any of your workers paid according to a piece rate?	
L21	Are wage calculations provided to workers using a pay stub or similar documentation?	
L22	Do you provide special training on human rights to security guards?	
L23	What measures do you use to discipline workers?	
L24	Do you have a trade union or other worker representation at the facility?	
L25	Does your facility have a Collective Bargaining Agreement in place?	
CS1	Do you subcontract any of your key production processes to other facilities to fulfill orders?	
CS2	Do you use indirect workers at your facility? (i.e. workers employed by a separate company, which you contract to provide these workers)?	
CS3	What is your employee turnover rate in the past three years? (including all turnover, both voluntary and involuntary)	
L26	What is the most consecutive days your workers are allowed to work without a day off?	
L27	What is the pay rate for overtime work?	
L28	Do you ensure that workers performing similar work are paid the same?	
L29	Do you provide accommodations for religious practices and workers with disabilities?	
L30	Do you maintain documentation on all workers that are leaving the company?	
<b>Environmental</b>		
<b>Question Number</b>	<b>Question</b>	<b>Rating/Answer</b>
EV1	Do you have current and documented records at your facility for all environmental permits, licenses of other legal authorization for each of these requirements? [upload copies of the records that are held]	

EV2	In the last 12 months, have you been subject to a fine, penalty or legal proceedings regarding failure to acquire or for operating without environmental permits or licenses or any other legal requirement?	
EV3	What is the distance of your facility from the nearest open water body (river, stream, lake (natural or artificial), marsh, ocean)?	
EV4	Is 100% of the liquid waste generated at your facility treated (either on site or off site) before it is discharged?	
EV5	What proportion of solid waste generated at your facility goes into a recycling program?	
EV6	In the last 12 months, have you been subject to a fine, penalty or legal proceedings regarding air emissions associated with your facility?	
EV7	Is water recycled at your facility?	
EV8	Is your facility located in a location that is known to have water shortages or within an arid zone?	
EV9	What are the primary sources of energy used to power your facility?	
EV10	Do you use equipment at your facility that directly emits GHG (CO2, methane, etc), such as boilers, generators, transport vehicles, etc.?	
EV11	What proportion of your total monthly revenue is attributed to your use of energy (electric power and fuel)?	
CS4	Has there been an environmental emergency or incident at your facility in the last 12 months (for example, a pollution incident, or an accidental release of hazardous materials, water or sold waste)?	
CS5	Do you have a registry / list and all of the required environmental permits, licenses and/or other legal authorizations required for your facility?	
CS6	When is the last time that the machinery being used for key processes in your facility was replaced or upgraded?	
CS7	When was the machinery being used for key business processes in your facility last serviced?	
CS8	Do any of the chemicals used at your facility have a Category 1 or 2 class hazard symbol, according to the GHS labeling system?	
CS9	Do you keep a list/registry of hazardous materials used?	
CS11	Does the potential exist that your workers come in contact with flammable or corrosive substances, chemical or biological agents, harmful emissions or lasers?	
CS12	Do your workers need to work on or around high-pressure vessels? (A high-pressure vessel is one designed to hold liquids, vapors, or gases at high pressures, usually above 15 psig.)	
CS13	Do all of your workers have access to written information on each of the workplace hazards that they can be exposed to, written in their native language?	
EV12	Do you have an ABSOLUTE greenhouse gas reduction goal AND do you report publicly?	
EV13	Do you track AND report publicly on your Scope 1, 2 and significant categories of Scope 3 greenhouse gas emissions?	
EV14	Is hazardous waste tracked and documented?, including measuring, retaining data, having a reduction goal, and publicly reporting progress?	
EV15	Is solid (non-hazardous) waste tracked and documented, including measuring, retaining data, having a reduction goal, and publicly reporting progress	
<b>Health and Safety</b>		
<b>Question Number</b>	<b>Question</b>	<b>Rating/Answer</b>
HS1	Do you share premises with other facilities?	
HS2	Do you use machinery with the potential to cause serious injury to operators?	
HS3	During the past 3 years, have any health and safety violations resulted in penalties or corrective actions, mandated by a court or government authority?	
HS4	If you use worker dormitories, does every dormitory have hot water for bathing and showering, adequate lighting, and ensure adequate heat / air conditioning?	
HS5	If you use worker dormitories, does each worker have a safe and secure individual place to store their valuable items?	
HS6	Do your workers have to lift loads greater than 50 lb (22.7 kg) manually?	
HS7	Do any of your workers operate equipment that requires an electricity voltage over 240V?	
HS8	Are your workers ever required to work at a height that risks them falling more than 2m?	
HS9	Does your facility have a sprinkler system in the production area (where relevant), in case of fire?	
HS10	Does your facility have an alarm system that covers every indoor area, in case of fire?	
HS11	Are all windows free of bars, grilles, or other obstructions that would prevent their use as exits in an emergency?	
HS12	Has there been an outbreak of infectious disease at your facility in the last two years (other than the common cold)?	
HS13	Has there been an outbreak of infectious disease at any of your dormitories in the last two years (other than the common cold)?	
HS14	Do your workers ever work in confined spaces (areas whose enclosed conditions and limited access would make an emergency exit difficult)?	

HS15	Is there manufacturing assembly, manufacturing machinery or heavy storage of any kind above the ground floor level ?	
HS16	In the last 12 months did any work-related fatalities or serious injuries occur at your facility?	
HS17	Have you had a emergency evacuation drills for each shift in the last 12 months, including at least 1 drill while it was dark outside?	
CS10	Do you provide dormitories?	
HS18	Do you have gender-responsive policies and practices, such as not having pregnant or nursing mothers in working conditions that could be hazardous to them or their child, AND provide reasonable accommodations for nursing mothers?	
HS19	Do you ensure and communicate to workers that they may remove themselves from any situation they feel could cause imminent harm, and not need return until the situation is mitigated, without fear of retaliation?	
HS20	Do you provide occupational health monitoring to routinely evaluate if workers' health is being harmed from occupational exposures?	
HS21	Does the health information and training include content on specific risks to relevant demographics, such as gender and age?	

### Ethics

Question Number	Question	Rating/Answer
ET1	Does your facility have any links to senior officials in the local or national government, or in regulatory bodies that are relevant for your business? Examples of links are shareholder interests, close family relationships, significant business relationships with officials or companies they control.	
ET2	Has your facility been investigated by relevant authorities for an ethics violations such as bribery, embezzlement or tax evasion, over the last two years?	
ET3	Has your facility been subject to any legal proceedings over the past two years associated with alleged infringements of other parties' intellectual property rights?'	
ET4	Has your facility been investigated by relevant authorities for unfair competitive practices, or similar, over the last two years?	
ET5	Has your facility been investigated by relevant authorities for misleading advertising, or similar, over the last two years?	
ET6	Do you encrypt all the personal information that you store, of suppliers, customers, consumers and employees?	
ET7	Do you share any of the personal information that you store, of suppliers, customers, consumers and employees, with third parties?	
ET8	Do you keep full written records of every sale, purchase, payment made and payment received by your facility, which has an equivalent value of US\$100 or greater?	
ET9	If your facility incorporates tin, tungsten, tantalum, gold or cobalt in your products, do you implement the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas?	
ET10	Do you communicate RBA Code of Conduct requirements to your suppliers?	
ET11	Do you place a contractual requirements on your suppliers (including any contractors or labor agents) to be in compliance with relevant legal requirements and RBA Code of Conduct?	
ET12	Do you have a process in place to identify risk for legal compliance, environmental, health and safety, labor, and ethics standards, including the risk of severe human rights and environmental impacts ?	

### Control Questions

Labor		
Question Number	Question	Rating/Answer
LC1	Does your facility hold any voluntary certifications for labor standards? For example, SA 8000, RBA VAP or Factory of Choice, or equivalent or similar?	
LC2	Does your facility have a written policy on the prevention of forced labor?	
LC3	Does your facility has a written policy on no fees?	
LC4	If there are migrant workers do they have written contracts of employment in their native language or a language they can understand? Provide a copy of employment for each language.	
LC5	Do you have a policy that allows workers to have access to their personal documents at all times?	
LC6	Does your facility has a written policy on freedom of movement?	
LC7	Do you pass your forced labor policies including no recruitment fees and personal document retention to your recruitment agencies?	
LC8	Has your facility assigned responsibility to specific staff for implementation of the forced labor policy?	
LC9	Has your facility developed a mechanism to monitor for instances of forced labor in your supply chain?	
LC10	Does your facility have a written policy on the prevention of child labor?	

LC11	Has your facility assigned responsibility to specific staff for implementation of the child labor policy?	
LC12	Are apprentices, students and/or interns only assigned to activities that complement the academic degree/certificate or skill enhancement learning goals?	
LC13	Does your facility have a tripartite agreement between the educational institution, student and your facility?	
LC14	Does your facility have a mechanism to check worker age upon hire?	
LC15	Does your facility have a written policy on working hours?	
LC16	Does your facility have a process to track and ensure that there are no exceedances of required working hour limits?	
LC17	Does your facility have a mechanism to set worker wages to be not less than a legal minimum wage?	
LC18	Does your facility have a mechanism to ensure that deductions from worker wages are in line with legal requirements?	
LC19	Does your facility have a written policy on the prevention of harassment, coercion, threatening behavior, physical abuse or punishment, sexual abuse, or verbal abuse towards workers?	
LC20	Has your facility assigned responsibility to specific staff for implementation of the policy?	
LC21	Does your facility have disciplinary procedures?	
LC22	Does your facility have a written policy on the prevention of discrimination?	
LC23	Has your facility assigned responsibility to specific staff for implementation of the anti-discrimination policy?	
LC24	Do you ensure that workers have the freedom to associate and bargain collectively by joining a labor organization or trade union? Or if that is restricted by law, they can form and join an alternate lawful form of worker representation and elect representatives?	
LC25	Has your facility assigned responsibility to specific staff for implementation of the policy?	
CSC1	Does your facility have a whistle-blower system in place through which employees can make anonymous reports of malpractice?	
CSC2	Does your facility have a grievance mechanism available to employees, contracted workers and other stakeholders?	
CSC3	Does your facility hold regular training for staff on all the RBA Code elements (all staff trained upon hire and annually)?	
CSC4	Have you assigned a management representative (s) to be responsible for compliance with laws and regulations covering labor, health and safety, environment and business ethics?	
CSC5	Which language are your evidence files uploaded in?	
LC26	Does your facility have a written policy on disciplinary actions, which is communicated to staff and workers ?	
<b>Environmental</b>		
<b>Question Number</b>	<b>Question</b>	<b>Rating/Answer</b>
EVC1	Do you hold a current certification or other formal documentation to show that your environmental management system or practices have been independently assured or verified, such as RBA VAP or Factory of Choice, ISO 14001 or equivalent or similar?	
EVC2	Does your facility have a written Environmental policy 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?	
EVC3	Has your facility assigned responsibility to specific staff for implementation of the environmental policy?	
EVC4	Does your facility have a program to reduce or eliminate pollution, emissions and waste in your operations?	
EVC5	Does your facility have a program to track and reduce the use of energy, water, and other resources in your operations?	
<b>Health and Safety</b>		
<b>Question Number</b>	<b>Question</b>	<b>Rating/Answer</b>
HSC1	Do you hold a current certification or other formal documentation to show that your Health and Safety management system or practices have been independently assured or verified, such as RBA VAP or Factory of Choice, or ISO 45001 or equivalent or similar?	
HSC2	Does your facility have a written Health and Safety policy that includes all the RBA Code Health and 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?	
HSC3	Has your facility assigned responsibility to specific staff for implementation of the health and safety policy?	

HSC4	Does your facility have a Health and Safety committee / worker health and safety representative?	
HSC5	Does your facility have a process to identify, assess and control potential worker exposure to safety hazards (e.g. chemical, electrical, fall, and other hazards)?	
HSC6	Does your facility have an emergency response procedure?	
HSC7	Does your facility keep records of industrial accidents and occupational diseases?	
<b>Ethics</b>		
<b>Question Number</b>	<b>Question</b>	<b>Rating/Answer</b>
ETC1	Do you hold a current certification or other formal documentation to show that your Business Ethics management system or practices have been independently assured or verified, such as RBA VAP or Factory of Choice, ISO 37001 or equivalent or similar?	
ETC2	Does your facility have a written Business Ethics policy that includes all the RBA Code Business elements: 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; and Privacy	
ETC3	Has your facility assigned responsibility to specific staff for implementation of the business ethics policy?	
ETC4	Does your facility have procedures to ensure accurate disclosure of information regarding business activities, structure, financial situation, and performance in accordance with applicable regulations?	
ETC5	Does your facility have procedures to ensure 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?	
ETC6	Does your facility have procedures to ensure that required standards of fair business, including advertising and competitive marketing, are upheld?	