

CSR Procurement Survey

Please evaluate your company's current status by selecting one of Answers (5~1), which is closest to your self-evaluation. Please refer to Appendix 2 "Guidelines for self-evaluation" in selecting your answer.

5 : Well managed 4 : Fairly managed 3 : Managed
 2 : Poorly managed 1 : Not managed

1. Promotion of CSR and its deployment into Supply Chain

Answer ↓

1.1	Is it clearly mentioned in your company's management policy or code of conduct that you place a greater emphasis on CSR?	
1.2	Is the department or person responsible for promoting CSR designated within your company?	
1.3	Are you promoting CSR procurement to your business partners including suppliers?	

2. Human Rights & Work Environment

2.1	Are you implementing appropriate management practices so that no act of forced labor can take place or that no right to leave one's job can be usurped?	
2.2	Are you implementing appropriate management practices so that no child who has not reached the minimum working age can be employed and that laborers can be protected from night work or hazardous work?	
2.3	Are you implementing appropriate management practices so that the risk of accidents or health problems during work in the workplace (safety risk) can be evaluated properly and that required safety measures can be taken without fail?	
2.4	Are you implementing appropriate management practices so that the company side cannot employ any inappropriate resistance to employees' rights to freedom of association or that labor-management consultations cannot be denied unduly?	
2.5	Are you implementing appropriate management practices so that no discriminatory acts can take place at the stage of recruiting, accepting and during the term of employment?	
2.6	Are you implementing appropriate management practices so that no act of inhumane treatment can take place such as abuses, physical punishments, sexual harassments, and intimidating harassments.?	
2.7	Are you implementing appropriate management practices so that no work order can be given to workers to work beyond the legal cap of the working hours and that holidays or vacations cannot be unduly restricted?	
2.8	Are you implementing appropriate management practices so that no wages lower than the legal minimum wage can be paid or that no unfairly deducted wage can be paid?	
2.9	Are you aware of the requirement to comply with conflict minerals measures across the entire supply chain has been increasing, and promoting efforts for such circumstance in business activities?	
2.10	Are you purchasing and/or using gold, tin, tantalum and tungsten (3TGs) originated in the conflict-affected region? (If you are not purchasing/using such minerals, please select N/A in the answer field.)	

3. Consideration to Environment

3.1	Do you have an environmental management system in place?	
3.2	Are you implementing appropriate management practices for not allowing products to contain those chemicals, whose contents are restricted by regulations, etc., in excess of restricted values? Are you labeling/testing ingredient chemicals contained in products as required by regulations?	
3.3	Are you implementing necessary management practices and reporting to regulatory authorities concerned, regarding mixture of chemicals, whose contents are regulated, during manufacturing and discharge into external environment?	
3.4	Are you promoting efforts for biodiversity conservation through business activities?	

4. Fair Trading & Anti-corruption

4.1	Are you implementing appropriate management practices for your business operation so that no violation can take place against laws, both home and abroad?	
4.2	Are you implementing appropriate management practices so that no act of giving a bribe to a public servant or offering an illegal political donation can occur?	
4.3	Are you implementing appropriate management practices so that no personnel of your company can offer/receive an inappropriate benefit when they interact with stakeholders of your company?	
4.4	Is it clearly mentioned in your company's management policy or manuals that you do not have any relationship with antisocial forces at all?	

5. Business Continuity Plan (BCP)

5.1	Is BCP established and implemented in your company?	
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6. Disclosure

6.1	Are you implementing timely and appropriate disclosures regarding above 1 ~ 5?	
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7. Affiliated organization and Certificates

Affiliated Organization	<input type="checkbox"/> LBMA <input type="checkbox"/> LPPM <input type="checkbox"/> CFSI <input type="checkbox"/> JEITA <input type="checkbox"/> UNGC <input type="checkbox"/> Others ()
Certificates	<input type="checkbox"/> ISO9001 <input type="checkbox"/> ISO14001 <input type="checkbox"/> Others ()

Date (day/month/year) _____

Name of respondent (please sign) _____

Name of respondent (please print) _____

Title/position _____

Dept/division _____

Company's name _____

Appendix 1. Terminology

CSR (Corporate Social Responsibility)

CSR refers to company's activity to fulfill social responsibility across its entire supply chain and contribute to sustainable development of society. Social responsibility is a responsibility of an organization for the impacts of its decisions and activities on society and the environment, through transparent and ethical behaviours that

- contributes to sustainable development, including health and the welfare of society;
- takes into account the expectations of stakeholders;
- is compliance with applicable law and consistent with international norms of behaviour; and
- is integrated throughout the organization and practised in its relationships.

CSR procurement

CSR procurement is to promote CSR across the entire supply chain in procuring products or raw materials by deploying CSR aspects such as environment, work environment and human rights in addition to traditional conditions such as quality, capacity, price and time of delivery.

Forced labor

Forced labor means all non-voluntary labor and the followings are examples of typical forced labor:

- Labor that is against one's will
- Labor for debt that limits the freedom of job turnover due to unpaid debt, etc.
- Slave labor practiced as a result of trafficking of humans
- Inhumane prison labor in harsh environment

The followings are also regarded as forced labor:

- Prohibition of voluntary job turnover
- Obligation to deposit identification cards/passports/work permit cards with employers

Sexual harassment, Power harassment

Sexual harassment is a bullying or coercion of a sexual nature, that is against his/her will, in workplace or elsewhere by his/her superiors.

Power harassment is an abuse of power by those who have superior position or advantageous relationship in workplace against their colleague beyond the boundaries of job description. It includes a range of behavior from corrupting morals at workplace to serious psychological and physical abuse and bullying.

Conflict minerals

Conflict minerals are such minerals that are mined in conflict-affected region. Buying minerals from conflict-affected region could result in fund raising for armed forces and having buyers involved in armed conflict. **The term is often used to refer to four minerals – tungsten, tantalum, tin and gold (also known as 3TG) – that are mined in the Democratic Republic of the Congo (DRC) and adjoining countries.**

Conflict-affected region

Conflict-affected region is identified by the presence of armed conflict, widespread violence or other risks of harm to people. Armed conflict may take a variety of forms, such as a conflict of international or non-international character, which may involve two or more states, or may consist of wars of liberation, or insurgencies, civil wars, etc. High-risk areas may include areas of political instability or repression, institutional weakness, insecurity, collapse of civil infrastructure and widespread violence. Such areas are often characterised by widespread human rights abuses and violations of national or international law.

Biodiversity Conservation

Biodiversity is a broad concept which represents richness of biology, and biodiversity conservation means the protection of various ecosystem, biotas and differences existing within the same species.

Nowadays, the biodiversity on earth is in danger and getting significantly lower, due to the decrease or extirpation of certain species by developments and/or overexploitations, the decrease of habitats, the disturbance of the ecosystem by carrying alien species, global warming and so on.

Environmental management systems
 "Environmental management" refers to voluntary activities by an organization or businesses to preserve the environment by setting goals or guidelines and trying to achieve those targets. "Environmental management system" refers to an organizational structure and procedures to achieve them within a factory or an office. One of typical environmental management systems is ISO14001.

Stakeholder
 Stakeholder is an individual or group that has an interest in any decision or activity of an organization.

BCP (Business Continuity Plan)
 In preparation for a state of emergency such as natural disaster, big fire or terrorist attack, companies prepare BCP to continue the operation of core business and to enable a swift recovery from losses while minimizing damages to their operating assets.

Appendix 2. Guidelines for self-evaluation

	Rating	Self-evaluation
1.1	5	Clearly mentioned in our management policy or code of conduct and made known to all staff including senior management.
	4	Clearly mentioned in our management policy or code of conduct.
	3	Not mentioned in our management policy nor code of conduct, but directed by top management if necessary.
	2	Planning to include in our management policy or code of conduct within one year.
	1	Not included in our management policy nor code of conduct. No plan to do so within one year.
1.2	5	Department or personnel responsible for promoting CSR are designated. Organizational approach is proactively pursued to promote CSR through company's core businesses.
	4	Department or personnel responsible for promoting CSR are not designated but administrative department takes up the role as required. Engaged in corporate philanthropy but organizational approach is not proactively pursued to promote CSR through core businesses.
	3	Department or personnel responsible for promoting CSR are not designated. Engaged in CSR activities only when directed by top management.
	2	Will establish the system and launch activities to promote CSR within one year.
	1	Not engaged/no plan to engage with.
1.3	5	CSR procurement policy is established and shared with our customers. Regular check of implementation is made.
	4	CSR procurement policy is established but shared with our customers only intermittently.
	3	CSR procurement policy is established and is under way to share it with our customers.
	2	CSR procurement policy is to be established and will be shared with our customers within one year.
	1	No plan to establish/not established CSR procurement policy and share it with customers.
2.1 ~ 2.8	5	Corporate rules & regulations are in place and made known to all staff including senior management. In addition, regular self-check including internal audit is made.
	4	Corporate rules & regulations are in place.
	3	Corporate rules & regulations are not in place but mentioned in your company's management policy.
	2	Planning to prepare corporate rules & regulations within one year.
	1	Not engaged/no plan to engage with.
2.9	5	We have a clear approach and made it externally announced. We trace the origin of conflict minerals across the supply chain, if necessary.
	4	We have a clear approach and trace the origin of conflict minerals across the supply chain, if necessary.
	3	We do not have a clear approach but we do trace the origin of conflict minerals across the supply chain, if necessary.
	2	We will have a clear approach fixed and start tracing the origin of conflict minerals within one year.
	1	Not engaged/no plan to engage with.
2.10	5	Not purchasing and/or using 3TGs from conflict region. (Prohibited by corporate rules & regulations)
	4	Purchasing and/or using only such 3TGs from conflict region that are certified by third party.
	3	Purchasing and/or using 3TGs from conflict region that are not certified by third party. Tracing the origin through supply chain is under way.
	2	Purchasing and/or using 3TGs from conflict region but not checking the origin through supply chain.
	1	Not sure if purchasing and/or using 3TGs from conflict region.

3.1	5	We have a third-party certificate such as ISO14001 in place.
	4	We do not have a third-party certificate such as ISO14001 in place, but our management policy makes it clear to protect the environment and we have a system in place to comply with environmental laws.
	3	We do not have a third-party certificate such as ISO14001 in place, nor do we have a management policy to protect the environment, but we have a system in place to comply with environmental laws.
	2	We are planning to obtain a third-party certificate such as ISO14001 and have a system in place to comply with environmental laws within one year.
	1	Not engaged/no plan to engage with.
3.2 ~ 3.3	5	We have corporate rules & regulations as well as manuals in place and conduct a regular inspection to confirm that chemical products are properly managed.
	4	We have corporate rules & regulations as well as manuals in place and conduct an inspection as required to confirm that chemical products are properly managed.
	3	We do not have corporate rules & regulations nor manuals in place but we do conduct an inspection when directed by senior management to confirm that chemical products are properly managed.
	2	We are planning to have corporate rules & regulations in place within one year.
	1	Not engaged/no plan to engage with.
3.4	5	Corporate policy or guidelines are in place and made known to all staff including senior management.
	4	Corporate policy or guidelines are in place.
	3	Corporate policy or guidelines are not in place but directions are given by senior management, if necessary.
	2	Corporate policy or guidelines are not in place but will be launched within one year.
	1	Not engaged/no plan to engage with.
4.1	5	Corporate rules & regulations concerning compliance are in place and made known to all staff including senior management. A whistle-blower system is also in place.
	4	Corporate rules & regulations concerning compliance are in place but a whistle-blower system is not in place.
	3	Corporate rules & regulations concerning compliance are not in place nor is a whistle-blower system, but directions are given by senior management, if necessary.
	2	Corporate rules & regulations concerning compliance are not in place nor is a whistle-blower system, but will be launched within one year.
	1	Not engaged/no plan to engage with.
4.2 ~ 4.3	5	Corporate rules & regulations are in place and made known to all staff including senior management. In addition, regular self-check including internal audit is made.
	4	Corporate rules & regulations are in place.
	3	Corporate rules & regulations are not in place, but directions are given by senior management, if necessary.
	2	Corporate rules & regulations are not in place, but will be launched within one year.
	1	Not engaged/no plan to engage with.
4.4	5	Corporate policy or manuals are in place and made known to all staff including senior management.
	4	Corporate policy or manuals are in place.
	3	Corporate policy or manuals are not in place but directions are given by senior management, if necessary.
	2	Corporate policy or manuals are not in place but will be launched within one year.
	1	Not engaged/no plan to engage with.
5.1	5	BCP is established, implemented and reviewed regularly to confirm that there are no issues.
	4	BCP is established, implemented and reviewed as required.
	3	BCP is currently being established.
	2	BCP will be launched within one year.
	1	Not engaged/no plan to engage with.
6.1	5	We disclose our activities externally by way of CSR reports or sustainability reports.
	4	We disclose our activities externally by way of company's website though we do not publish CSR reports or sustainability reports.
	3	We do not publish CSR reports or sustainability reports nor do we disclose our activities externally by way of company's website, but we do approach to a limited number of stakeholders.
	2	We do not disclose our activities externally at the moment but are planning to launch within one year.
	1	Not engaged/no plan to engage with.