## Sustainable Procurement Self-Evaluation Questionnaire for Manufacturing

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Broad Category	Medium Category	Narrow Category	Topics based on the Global Compact (GC) and JEITA	Supplementary Notes	Applicable or N/A	Do you understand the law/regulation?	Has an appropriate policy been established?	Is the responsible person & implementation system clear?	Is the person's name & implementation system known in your company?	Is internal training conducted regularly?	Is the situation checked (investigated) regularly?	Is the situation (investigation) result analyzed and its effectiveness checked?	Do you have a mechanism for corrective actions related to this topic as necessary?	Do you know the situation of your business partners?	At our request, can you show us the documents related to your activities?	
	Climate change (GHG, energy)	Climate change (GHG, energy)	GC IV-5. Reduction of (30) GHG (greenhouse gases)  Companies are expected to set independent reduction targets for greenhouse gases, such as carbon dioxide, methane and fluorocarbons, and make efforts to reduce them to help combat climate change.	Greenhouse gases (GHG) are mainly CO2, methane, nitrous oxide, and chlorofluorocarbon, but about 70 % is CO2, which is generated by using fossil fuels. This is about whether your company has a mechanism by which you can understand and reduce the amount of energy you use, and how you operate it. (For example, reducing the use of electricity or fossil fuels like gasoline and light oil.)	Applicable											
		Green procurement	Promotion of green procurement (procurement of environmentally friendly raw materials and materials)  Companies should promote green procurement for coexistence with the environment, and strive to reduce their environmental impact.	Green procurement is procurement mechanisms that prioritize companies that actively provide products and services with low environmental impact, or that give consideration to the environment. This is about whether your company is working on green procurement systematically in an organized manner, and how it operates.  (For example, are you working to promote the purchase of stationery and office equipment that is certified as environmentally friendly?)	Applicable											
	Pollution and resources (air, wastewater, hazardous waste, waste	Chemical substance management	GC IV-2. Management of chemical substances indicated in laws and regulations, etc., in production processes, products, and services  Companies should manage chemical substances in products and, moreover, ascertain and report the amount of handled chemical substances to the government.	This is about your mechanism for understanding and complying with laws and regulations (for example, the Japanese Act on the Regulation of Manufacture and Evaluation of Chemical Substances), and how it operates.	Applicable											
	reduction, raw materials, etc.)	Reduction of resource use and industrial waste promotion of resource reuse/recycling and renewable energy	GC IV-4. Sustainable and efficient utilization of resources (energy, water, raw materials, etc.)  Companies are expected to set independent targets for implementing resource conservation and energy savings, and to make efforts to effectively use sustainable resources and energies.	This is about whether you set independent targets for implementing resource conservation and energy savings in your company, for the continuous and effective use of resources and energy, and if so, how they operate.  (For example, the use of clean power to save energy, promotion of purchasing hybrid vehicles for the company, saving resources through reuse, etc.)	Applicable											
			GC IV-6. Identification, management, reduction, and (31) responsible disposal or recycling of waste  Companies are expected to set independent reduction targets for waste, and make efforts to reduce it.	This is about your company's efforts toward resource recycling (reduction of input resources such as paper, utilization of recycled products, waste reduction, etc.), and whether there is a mechanism for proper implementation of industrial waste treatment, and how it operates.	Applicable											
Environ- ment	Water security / water risk	Reduction of water usage and pollution prevention	GC IV-3. Control and reduction of waste water, sludge and air emissions  Companies are expected to set targets at the level prescribed by law or more rigorous voluntary environmental impact reduction targets. In addition, efforts should be made to prevent pollution, to monitor and control waste water, (29) sludge and air emissions etc., and to reduce outflow.		Applicable											
	Biodiversity	Biodiversity	GC IV-7. Initiatives related to (32) biodiversity  Companies are expected to conduct investigations into the direct and indirect impacts of business on the ecosystem, and make efforts to protect biodiversity and ensure its sustainable utilization.	This is about whether you have a system for corporate activities that take biodiversity into consideration, such as protecting nature and promoting the conservation of ecosystems, and if so, how it operates.  (There are a wide range of possible activities, and some of them are easy to do. For example, restrictions on night lighting or rooftop greening. Some activities promote regional development and contribute to society, such as regional green space conservation and river environment conservation activities.)	Applicable											
	Environment management	Environment management	GC IV-1. Basic attitude toward environmental initiatives Companies are expected to be aware of environmental issues in (23) business processes and to establish systems to resolve them. They are also required to identify factors that have an impact on the environment and to take responsibility for managing them.  Main international frameworks and norms: (24) Rio Declaration on Environment and Development, (8) Ten Principles of the UN Global Compact, (25) ISO 14001, (26) Paris Agreement, (27) Basel Convention  (28) Major laws and regulations related to the environment: Japan: Basic Environment Act; Chemical Substance Control Law; Industrial Safety and Health Act; Water Pollution Prevention Act; Act on Advancement of Water Resources Development; Act Relating to the Prevention of Marine Pollution and Mantime Disasters; River Act; Waste Management and Public Cleansing Act; Basic Act on Establishing a Sound Material-Cycle Society various recycling laws US: TSCA EU: REACH Regulation South Korea: Toxic Chemical Control Act; Occupational Safety and Health Act China: Provisions on the Environmental Management of New Chemical Substances Taiwan: Occupational Safety & Health Act	Group products receives orders for improvement or penalties related to environmental	Applicable											
	Labor practices	Elimination of child labor and forced labor Reduction of overtime work	GC III-6. Fair application of working hours, time off, and paid time off, etc.  Companies should abide by working hours designated by law or agreed to in advance. They should ensure that employees' working hours are managed appropriately and that they are given the right to take paid time off. Employees should be given at least one day off per week.  GC III-7. Prohibition of forced labor  Companies should avoid making people work against their will and making people do work that restricts their freedom to leave their jobs. Work coercion using unjustified means of restraint and compulsion of overtime work, etc., should not be practiced. In addition, (18) unjustified retention of identification documents, etc., and unjustified collection of (19) deposit should not be practiced.	will, work with restricted freedom of leaving the job, forced labor using unreasonable means	Applicable  Applicable											
			GC III-8. Prohibition of child labor  Companies should avoid employing children under the legal working age in that country or region. In addition, children should not be made to perform work that could harm their health, safety, or morals.	This is about whether there is a system at your company to prohibit employment (including dispatch) of workers under the legal working age, and to prevent such workers from	Applicable											
		Equal opportunity and prohibition of discrimination	GC III-2. Prohibition of discrimination in the workplace  Companies should not discriminate at the workplace, including during the recruitment process, based on race, nationality, gender, sexual orientation, age, ancestry, religion, ethnicity, immigration, the existence of a disability, etc., or any factors other than factors such as the applicant's abilities and aptitude.	This is about whether you have a system to prevent discrimination (including discrimination in the recruitment process) based on race, nationality, gender, sexual orientation, age, ancestry, religion, ethnicity, immigrant status, disability, or any other factor other than applicant's abilities and aptitude, and if so, how it operates.	Applicable											
			GC III-4. Prohibition of inhumane treatment  Companies should respect employees' human rights. Inhumane treatment, such as abuse, physical punishment and harassment, is prohibited.	This is about whether your company conducts regular surveys to check for employee abuse, physical punishment, harassment, and other inhumane treatment.	Applicable											

		Promotion of diversity and inclusion	GC II-2. Respect for human rights and prohibition of discrimination  Companies should respect human rights and have a responsibility to conduct decision-making and business activities without discrimination based on race, nationality, gender, (14) sexual orientation, age, ancestry, religion, ethnicity, or immigration, etc., or against children, senior citizens, persons with disabilities, indigenous populations, the poor, or persons with HIV/AIDS, etc.  GC III-3. Provision of equal opportunities to employees regarding human resources development and (16) career advancement, etc.  Companies are expected to play a critical role in ensuring that opportunities, such as for promotion and training, are provided equally without undermining fairness on the grounds of race, nationality, gender, sexual orientation, age, ancestry, religion, ethnicity, immigration, the existence of a disability, marital status, or the condition of health, etc.	This is about whether your company respects and utilizes values and work ethics for diverse personnel (in race, nationality, gender, sexual orientation, age, family, religion, ethnicity, immigrants, etc.) in order to utilize diverse personnel, and whether there is a mechanism to prohibit unfairness in promotion, training, and other opportunities, and if so, how it operates.  (For example, appointing female executives, hiring foreign workers and persons with	Applicable					
	Health and safety	Health and safety management	GC III-11. Proper management of employee safety and health  Companies should take steps so that the risk of accidents occurring during work and the risks of harmful chemical substances, noise, and odors on the human body are understood and that appropriate safety measures, etc., are taken (including statutory inspections, (21) safeguards, (22) danger signals, control of the handling of chemical substances, measures against dangerous work, and compliance with designations for protective equipment, etc.). In addition, measures that give consideration to employees' mental health should also be taken.	employee mental health, and if so, how they operate	Applicable					
Social		Creating new ways of working and achieving work-life balance	GC III-6. Fair application of working hours, time off, and paid time off, etc.  Companies should abide by working hours designated by law or agreed to in advance. They should ensure that employees' working hours are managed appropriately and that they are given the right to take paid time off. Employees should be given at least one day off per week.	This is about whether your company encourages work-life balance by, for example, having a "no-overtime day" or a system to give employees a rest from childcare or nursing care responsibilities.	Applicable					
	Human rights	Exclusion of antisocial forces	GC V-5. Rejection of relationships with antisocial forces/organizations  Relationships with violent groups and corporate extortionists, etc., should be rejected.	This is about whether your company has mechanisms in place to restrict and weaken the economic activities of anti-social forces from the perspective of corporate compliance and social responsibility (CSR), and about the operational status of such mechanisms.  Additionally, we would like to know if your organization is systematically implementing practices such as "not fearing organized crime groups," "not cooperating with organized crime groups," and "not utilizing organized crime groups," in accordance with the enforcement of the "Organized Crime Groups Exclusion Ordinances" in each prefecture.	Applicable					
		Responsible mineral sourcing	JEITA 5-7. Responsible mineral sourcing (the use of raw materials not involved in conflict or crime)  Companies are required to ensure that the minerals such as tantalum, tin, tungsten, and gold contained in its products manufactured do not cause or contribute to serious human rights abuses, environmental destruction, corruption, or disputes in Conflict-Affected and High-Risk Areas.	This is about whether your company has a system to verify if the tantalum, tin, tungsten, and gold contained in the products or materials produced or used by your company are sourced from conflict-affected and high-risk areas. It is also to ensure the use of raw materials that are not involved in conflicts or crimes, as well as the operational status of the system.	Applicable					
	Contributions to the local community	Contributions to the local community	GC IX-2. Initiatives with contribute to the local community and residents and collaborate towards sustainable development  Companies are expected to carry out initiatives with local communities aimed at sustainable development.  Examples of initiatives with local communities:  Job creation, skills development, priority purchasing of local products and services, supplier development, etc.	This is about whether your company, as a member of the local community, works on creating jobs, developing skills, priority purchasing of local products and services, and development of your suppliers. Also, regarding active interaction with society and contributions to society, whether you have a system and how it operates.	Applicable					
	Quality, customers	Quality management	GC VI-1. Basic attitude toward product and service quality and safety Companies are required to ensure the quality and safety of products and services provided through business activities and to respond appropriately to customers/ consumers, etc., in the event of an accident.  -Main international frameworks and norms: (42) ISO 9001, ISO/IEC Guide 51, EU New Approach Directives, and HACCP (43) Major laws and regulations related to quality and safety: PL Act; Consumer Product Safety Act; Electrical Appliances and Materials Safety Act; Gas Business Act; LP Act; PMD Act; Radio Act; Food Sanitation Act; JAS Act; Water Supply Act; Quality Labeling Act; Housing Quality Act; Road Transport Vehicle Act; Building Standards Act; Premiums and Representations Act, etc.  GC VI-2. Ensuring product and service quality and safety Companies are expected to qualify and ensure safety when supplying products and services. [In-house quality management system, use of a third-party certification system, etc. (S mark, SG mark, ST mark, JIS mark, JAS mark, etc.]	This topic is about, in conducting business activities, whether you have a mechanism for complying with relevant domestic and foreign laws and regulations (on anti-competitive activities, prevention of abuse of power, etc.), conducting fair and impartial transactions based on corporate ethics, and preventing inappropriate profits from being exchanged with customers, business partners, or civil servants, and if so, how it operates.	Applicable					
		Offering accurate product and service information	JEITA 6-3. Providing Accurate Information on Products and Services  Companies are required to provide correct and accurate information on products and services that in will not cause misunderstandings. This includes information such as quality assurance of products and services, and the substances contained in materials and components used in products.	This is about whether your company has a system in place to provide accurate and non-misleading information about your products and services, and, if so, how it operates.	Applicable					
	Observance of fair	Observance of fair business practices (including legal compliance)	GC V-1. Basic attitude toward fair business practices Companies are expected to engage in fair business practices (e.g., prevention of corruption, responsible political involvement, fair competition, rejection of relationships with (33) antisocial forces/ organizations) in (23) business processes producing/providing products and services.  -Major international frameworks and norms related to fair business practices: (8) Ten Principles of the UN Global Compact, (10) OECD Guidelines for Multinational Enterprises, (34) United Nations Convention against Corruption -Major laws and regulations related to fair business practices: (35) Domestic laws regarding competition: Antimonopoly Act (Japan), antitrust laws (US), European Union competition law (EU)	riles a about wherein your company has a system in place to ensure companies with relevant domestic and international laws and regulations (such as competition law and the prevention of abuse of a superior bargaining position) in its business activities, ensure fair and equitable transactions based on corporate ethics, and prevent inappropriate exchanges of benefits with customers, business partners, and public officials, and, if so, how it	Applicable					
	business practices	Respect for intellectual property	GC V-6. Prevention of unauthorized use of a third party's intellectual property and of illegal reproduction of copyrighted works  Intellectual property rights, including patent rights, copyrights, and trademark rights, should be respected.  GC L4. Establishment of a whistle-blower.	This is about whether your company has a system in place to respect the intellectual property rights of third parties, such as customers and suppliers, and to prevent unauthorized use of intellectual property and illegal copying of copyrighted materials, and, if so, how it operates.	Applicable					
		Protection of whistleblowers	GC 1-4. Establishment of a whistle-blower  It is expected that a system is in place for employees who have learned of a compliance problem in the company's business activities in general, such as a legal violation or wrongful act, or an act that could be a compliance problem, or for employees who themselves have suffered human rights or labor abuses, to directly report to or consult with a dedicated department or outside contact. It is also expected that the system is set up to ensure confidentiality and that the whistleblower will not be treated unfavorably.	This is about whether your company has a system in place to protect the confidentiality of information related to whistleblowing, ensure the anonymity of whistleblowers, and prevent retailation against them, as well as the operational status of the system.	Applicable					

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		Appropriate import and export management	JEITA C. Proper import/export control  Companies are required to maintain a clear management system and conduct appropriate procedures for the import and export of technologies and goods regulated by law.	This is about whether your company has a system in place to ensure appropriate import and export procedures for technologies and goods regulated by laws and regulations, and, if so, how it operates.	Applicable					
Ethics and Risk	Management system construction	Management system construction	JEITA A. Establishing a management system  Companies are required to establish a management system in order to comply with the code of conduct.	This is about focusing on risks that may hinder your company's business activities. We would like to inquire whether your company has a system in place for risk identification and risk management, and, if so, how it operates.	Applicable					
Manage- ment		Supplier management	JEITA B. Supplier management  Companies are required to take the same responsibility for CSR in their supply chain as they do within their own operations. Therefore, it is necessary to communicate the requirements of the code of conduct to suppliers and monitor their compliance.	This is about whether your company has a system in place to communicate the requirements of the code of conduct to suppliers, monitor compliance, and encourage improvements, as well as the operational status of such a system. If your company does not have a code of conduct, please consider using our "aG Sustainable Procurement Guidelines" as a reference.	Applicable					
		Grievance mechanism	GC V-7. Services for responding to complaints from outside the company and for consultations. There should be a system in place for persons involved with trade partners or consumers who have knowledge of important risk information related to transactions with the company allowing them to directly report to or consult with a dedicated department or outside contact. Also, the system should be set up to ensure confidentiality and to ensure that the informant will not be treated unfavorably.	This is about whether your company has a grievance mechanism available to stakeholders, including employees and suppliers, to prevent misconduct within your company and the supply chain, as well as the operational status of the mechanism.	Applicable					
	Appropriate information disclosure	Appropriate information disclosure	JEITA 5-3. Fair information disclosure  Companies are required to disclose information regarding labor, health and safety, environmental activities, business activities, organizational structure, financial status, and performance in accordance with applicable laws and regulations and industry practices.	This is about whether your company has a system in place to disclose information regarding labor, health and safety, environmental activities, business activities, organizational structure, financial status, and performance, in accordance with applicable laws, regulations and industry practices, as well as the operational status of the system.	Applicable					
	Information security .	Ensuring information security	GC VII-1. Basic attitude towards information security  Business are required to properly manage and protect information obtained through business activities and to take defensive measures against threats on computer networks.  Major laws and regulations:  Japanese domestic laws include: Penal Code, Basic act on cybersecurity, Act on the protection of personal information, Act against unauthorized access, Act on electronic signature certification, etc	This is about whether your company has a system in place to implement defense measures against threats such as cyberattacks and to manage these threats to prevent harm to your company and others, as well as the operational status of the system.	Applicable					
		Protecting personal information	GC WI-3. Protection of personal inforamtion and privacy  The personal information of customers, third parties, and employees should be properly managed and protected.	This is about whether your company has a system in place to appropriately manage and protect all personal information related to suppliers, customers, consumers, and employees, in compliance with relevant laws and regulations, as well as the operational status of the system.	Applicable					
		Preventing leakage of confidential Information	GC WI-4. Prevantion of misuse of confidential information  Confidential information received from customers and third parties should be properly managed and protected.	This is about whether your company has a system in place to appropriately manage and protect not only your own confidential information but also confidential information received from customers and third parties, as well as the operational status of the system.	Applicable					
	Drafting and preparation of business continuity plans	Drafting and preparation of business continuity plans	GC I-3. Establishment of a business continuity planning (BCP) system  It is expected that a system is in place for business continuity or early recovery of important operations and business during / after a disaster (e.g. natural disaster, major fire, terrorist attack).	This is about whether your company has a system in place to ensure the continuation of critical operations and business, or to facilitate early recovery in the event of disasters such as natural disasters, major fires, or terrorist attacks, as well as the operational status of the system.	Applicable					