This Appendix contains questions especially for SMETA audit request that will help us to prepare an individual and binding quotation.

**1-General information**

|  |  |
| --- | --- |
| Company Name |       |
| Address |       |
| Country |       |
| Management Representative / Position |       |
| Managing Director / CEO |       |
| Worker Representative |       |
| Telephone |       | Email |       |
| Weekly Holiday(s) |       | Working hours |       |
| Legal Form of Organization |       | Business since  |       |
| Industrial Sector in which you operate |       |
| Main Products supplied by you |       |
| Actual Manufacturing Process(es) (exclude outsourced activity) |       |
| Other Process(es) (as applicable) |       |
| Size of the production area(s) (in m²) |       |

**2-Number of workers**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Total | Production /Factory | Office staff /Management | Contract / Temp. Employees | Homeworkers(if any) |
| Male |       |       |       |       |       |
| Female |       |       |       |       |       |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Office staff / Management | General | Shift 1 | Shift 2 | Shift 3 |
| Shift Timings |       |       |       |       |       |
| Male |       |       |       |       |       |
| Female |       |       |       |       |       |
| Total number of migrant workers |       | Migrants (national): |       | Migrants (foreign): |       |
| Number of young workers |       | Number of workers aged 50+ |       | Number of apprentices, trainees |       |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Is the company unionized? | [ ]  Yes  | [ ]  No | [ ]  Other: |       |
| If yes, Union membership/affiliation: |       |
| Which languages / dialects generally spoken by the employees with percentages (especially work force/ staff): |
|       |
| In case of outsourced activities / processes please name/ describe them: |
|       |
| Do you use labour providers?, If yes please provide details. |
|       |
| What are your peaks seasons as months? |
|       |

 **3-Audit and Scope Details** *(The audit will be conducted based on these information; please communicate these details with your buyer before selection.)*

 Audit Scope :[ ]  2 Pillar [ ]  4 Pillar

 Audit announcement :[ ]  Announced [ ]  Semi-announced [ ]  Unannounced

|  |  |
| --- | --- |
| Code, on which the audit is based on: | Audit Nature: |
| [ ] [ ] [ ] [ ] [ ]  | Corporate CodeETI Base Code FLA Local LawOther:       | [ ]  [ ]  [ ]  [ ]  [ ]    | Full Initial auditPeriodic auditFull Follow up auditPartial Follow up auditOther       |

Is the audit required by your customer?

|  |  |  |
| --- | --- | --- |
| [ ]  no | [ ]  yes  | If yes, who       |

**4-SEDEX Database**

|  |  |
| --- | --- |
| [ ]  | The SEDEX Membership is available. Please provide ZS/ZC number       |
| [ ]  | The SAQ (Self Assessment Questionnaire) is available- **SAQ is needed to be filled at least 1 month before the audit date. If the quotation/contract is signed and SAQ is not available before audit date, then the annex of this document shall be filled to provide site information. However, it is highly suggested to fill the SAQ in the SEDEX platform.** |
| [ ]  | An audit request via SEDEX is already started. Please provide ZAA number       |

**5-Is your company certified against any of the following standards?**

|  |  |  |  |
| --- | --- | --- | --- |
| [ ]  | ISO 9001 | [ ]  | SA8000 |
| [ ]  | ISO 14001 | [ ]  | amfori BSCI |
| [ ]  | ISO 45001 | [ ]  | WRAP |
| [ ]  | Other system certification: | [ ]   | FLA |
|  |       | [ ]  | Other fair/social/accountability certification: |
|  |  |  |       |

**6-Are you a member of an industry, professional or trade association/federation? If yes please write the name.**

**7-Have you worked with any consultant for your social accountability/management system? If yes please write the name of the consultant.**

**8-Any further information you think may be important for us?**

We agree that this information may be stored for the purposes of drafting an offer and processing any resulting order or transactions.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|       |  |       |  |  |
| Place/Date |  | Name |  | Signature \*)\*) If sent by email, the sender's address will be accepted |

**ANNEX- Site profile information (*No need to fill it during offering phase.*** *It has to be filled in case the quotation/contract is signed and SAQ is not available before audit date in the SEDEX platform)*

* Do workers have access to or use chemicals that are hazardous to health?
* Please explain which chemicals workers have access to and how they are hazardous.
* Do workers have access to machines and/or vehicles that could cause risk to their health or safety?
* How many ﬂoors are there in the tallest building?
* Have any ﬂoors been added since the original construction of the building?
* What facilities are provided on site? Please select all that apply.
* Which of the below written policies are in place throughout the enterprise? Please select all applicable options.
* Please upload your Environmental policies
* Please upload your Health and Safety policies
* Is your business required by law to publish a statement containing information relating to social, environmental, or human rights matters? If yes please provide a link to your most recent statement(s).
* Do you have specialist staff responsible for Health and Safety?
* Do you have specialist staff responsible for Environmental impact?
* Do you have staff responsible for achieving customer Ethical Trade requirements at your business?
* Is there a person responsible for managing supplier adherence to your Code of Conduct?
* Health and Safety: Please upload any relevant certiﬁcations from standards or schemes you have
* Environment: Please upload any relevant certiﬁcations from the standards or schemes you have
* How do you understand Labour Standards risks within your business? Please define.
* How do you understand Health and Safety risks within your business? Please define.
* How do you understand Business Ethics risks within your business? Please define.
* Are you aware of trade unions having worker representatives among the workforce?
* How can workers report any violations of Labour Standards, Health and Safety, or any other grievances? Please define.
* Which of these contract types are in use at your site?
* What steps do you take to ensure migrant workers do not pay recruitment costs? Please define.
* Which currency would you like to use for completing the following set of questions? Please define.
* How are directly hired workers paid? Please define all applicable options.
* What was the lowest wage paid to directly hired workers last month? Please consider each contract type and enter the wage by gender against each contract type used.
* Lowest wage for all permanent workers
	+ Permanent - Male
	+ Permanent - Female
	+ Lowest wage for all temporary workers
	+ Temporary - Male
	+ Temporary - Female
* Are directly hired workers paid an overtime premium?
* Do any workers live in accommodation provided by your business or a third party?
* How do you manage Business Ethics/bribery and corruption within your business? Please define.
* What pollution risks result from your business operations? Please define
* How do you manage pollution created by your business activities? Please define
* How do you manage your wastewater?
* What type of waste is produced by your business?
* How do you manage waste handling and disposal?
* Do you consider the disposal of your products and packaging after use?
* What biodiversity impacts have been identiﬁed from your business activities? Please define.
* What is your secondary energy source?
* What percentage of your costs are spent on energy (electricity and other fuels)?
* How do you manage your impact on raw material extraction?
* How many different countries do you source from?
* Which countries do you source from?
* Please specify the product(s) and services that you purchase from each country.
* Are any of these minerals present in any of the products that your site manufactures or supplies?
* How many different suppliers do you currently source from?
* Do you have a process for selecting new suppliers of goods?
* What actions are taken to monitor suppliers of goods' performance against the Code of Conduct?
* What actions are taken if suppliers of goods breach the Code of Conduct?
* Do you monitor working conditions at service provider suppliers?
* What actions are taken to monitor providers of services' performance against your Code of Conduct?
* Do you have a process for selecting new suppliers of services?
* Does the business consider the impact of purchasing practices when purchasing from suppliers?
* How many different subcontractors do you use? Please complete information for your most commonly used subcontractors.
* Do you provide the following training? Please select all applicable answers.
* Please enter the number of staff and workers that have received training on Health and Safety in the past year:
	+ Workers male
	+ Workers female
	+ Workers total
	+ Supervisors male
	+ Supervisors female
	+ Supervisors total
	+ Managers male
	+ Managers female
	+ Managers total
* Please enter the number of your staff that have received training on Business Ethics / Bribery and have received training on Labor Standards/Human training on Environmental Impact in the past year:
	+ Female supervisors
	+ Male managers
	+ Total managers
* What are the key next steps to improve performance on Labor Standards and Rights or Human Resources this year?
* What are the key next steps to improve performance on Labor Standards and Rights or Human Resources this year?
* What are the key next steps to improve performance on Labor Standards and Rights or Human Resources this year?
* What are the key next steps to improve Health and Safety performance this year?
* What are the key next steps to improve Environmental performance this year?
* What are the key next steps to improve Business Ethics performance this year?
* What are the key next steps to improve supplier performance this year?
* Please explain your system for monitoring working hours.
* How many hours does an employee/worker work in a standard working week?
* Do you collect or monitor any Key Performance Indicator (KPI) information or other data?
* How much waste is generated per year, on average? Please enter amount in Kg.
* What percentage of waste is sent to landﬁll?
* What waste reduction targets are in place? Please state percentage and target date
* Do you have percentage reduction targets for water in place?
* Number of female workers promoted within the last year:
* Number of new female permanent workers recruited in the past 12 months:
* How many men have taken parental (paternity) leave in the past 12 months?
* How many men in the current workforce have returned to work after parental or paternity leave?
* Do you have percentage reduction targets for greenhouse gas emissions in place?
* How much energy is used per year, on average? Please enter amount in kWh.
* Do you have percentage reduction targets for energy in place?
* What energy reduction targets are in place? Please state percentage and target date.
* Percentage of workers that work on average more than 60 total hours per week in the last 12 months:
* Number of serious accidents (i.e. requiring hospital treatment) and fatalities:
	+ Of the total, how many were recorded for male workers?
* Number of workers that received ﬁre safety training this year:
* Number of female workers that received ﬁre safety training this year:
* Please describe what support you would like.
* Which job functions/departments have been consulted to complete this questionnaire?