

Supplier Sustainability Initial Assessment

Microsoft Excel spreadsheet
available on request



Instructions for completing the Self Assessment:

Review the requirements outlined in each row and assess your factory's practices by utilizing the following levels:

*Not Applicable: If the requirement does not apply to your factory, mark it with the number 1 in the "Not Applicable" column.

***In Place - Green Column:** If your factory has implemented the requirement, mark it with 1 in the "In Place" (green) column.

***Not in Place - Red Column:** If the requirement is not currently implemented in your factory, mark it with 1 in the "Not in Place" (red) column.

Note: This chart contains formulas, so use only 1 to indicate your response whether the answer is not applicable, in place, or not in place. Do not use "X", Yes or any other symbol; only use the number 1. DO NOT SKIP any question.

| Questions | Supplier name: | Score | | |
|-----------|----------------|----------------|----------|--------------|
| | Date : | Not applicable | In Place | Not in place |
| | Completed By : | | | |
| | | NA | YES | NO |

CERTIFICATIONS -Please list the certification that your company has and expiration date

ISO 45001 (YES OR NO) Attached certification:

Expiration date:

ISO 14001 (YES OR NO) Attached certification:

Expiration date:

Any other sustainability certification:

Expiration date:

I) HUMAN RIGHTS

Example:

| | | | | |
|--|--|--|---|---|
| Company has a written Social Responsibility Policy /Sustainability | Mark with #1 in the green column if your answer is yes | | 1 | |
| Company has a code of conduct | Mark with #1 in the red column if your answer is no | | | 1 |

| No. | Requirement | Comments |
|-----|-------------|----------|
|-----|-------------|----------|

| No. | Requirement | Comments | | | |
|-----|---|----------|--|--|--|
| 1 | The Company has a Code of Conduct | | | | |
| 2 | Company has written policies regarding child labor | | | | |
| 3 | Company has a written policy for juvenile workers, including shifts and tasks these workers can perform | | | | |
| 4 | Company has a written policy about Diversity, Equity and inclusion | | | | |
| 5 | Company has written policies regarding forced labor | | | | |
| 6 | Company has written documents that describe progressive disciplinary procedures and termination | | | | |
| 7 | Company has written document that describes grievance procedure | | | | |
| 8 | Company has written policies that covers harrasment and abuse | | | | |
| 9 | Company provides training about harassment and abuse | | | | |
| 10 | Company has a written policy regarding non discrimination | | | | |
| 11 | Company provides training about discrimination | | | | |
| 12 | Company a labor Policy that covers freedom of association and collective bargaining. | | | | |

| | |
|--|---------|
| Points for Compliance with International Standards of Human Rights | 0 |
| | #DIV/0! |

II) WORKING CONDITIONS

| | | | | | |
|---|--|--|--|--|--|
| 1 | Company conducts new employee orientation training, to explain policies, rules and regulations, pay structure, emergency procedures, health and safety, PPE. | | | | |
| 2 | Company has a policy that covers minimum wage, working hours, breaks, overtime compensation and mandated benefits and deductions | | | | |
| 3 | Overtime rates are according to local law and regulation | | | | |
| 4 | All employees receive a detailed pay slip showing payment structure (hourly rate of pay, hours worked, overtime hours by overtime rate, deductions and benefits and bonus) | | | | |
| 5 | Company has a summary of local labor law in local language posted in its facility | | | | |

| | |
|--|---------|
| Points for Compliance with Local Laws and Regulation | 0 |
| | #DIV/0! |

III) HEALTH & SAFETY

| | | | | | |
|----|--|--|--|--|--|
| 1 | Company has a written Health & Safety Policy | | | | |
| 2 | Company has a Emergency Action Plan including response to fire, evacuation, medical emergency, chemical spill | | | | |
| 3 | Company has Health and Safety Committee that meets on a regular basis and maintains records of meetings | | | | |
| 4 | Company performs health awareness training | | | | |
| 5 | Company has a system to ensure quantity, type and functionality of fire extinguishers is compliant with local regulations. | | | | |
| 6 | Company conducts fire fighting training | | | | |
| 7 | Company keeps accident log book | | | | |
| 8 | Company conducts first aid training, including CPR, by a professional external organization. | | | | |
| 9 | Company conducts a health and safety Risk Assessment | | | | |
| 10 | PPE is provided to workers that need it to perform their duties | | | | |
| 11 | Do the applicable machines have the proper safety guards in place? | | | | |
| 12 | SDS in local language is available in areas where chemicals are being used. | | | | |
| 13 | Potable drinking water is available in all working areas | | | | |

| | | | | | |
|--|--|---|---------|--|--|
| 14 | Company conduct a Noise evaluation system to ensure noise is maintained at an acceptable level | | | | |
| 15 | Company has temperature monitoring to ensure temperature is in an acceptable level. | | | | |
| Points for Compliance with Health and Safety Regulations | | 0 | #DIV/0! | | |
| IV) Environment | | | | | |
| 1 | Company has a written environmental policy | | | | |
| 2 | Does the company have a process in place to verify that raw materials are sourced responsibly? | | | | |
| 3 | Company has a monitoring system for energy usage | | | | |
| 4 | Company has a monitoring system for water use | | | | |
| 5 | Company has monitoring system for waste management | | | | |
| 6 | Company has a monitoring system to track air pollution | | | | |
| 7 | Company tracks scope 1 Greenhouse Gas (GHG) emissions | | | | |
| 8 | Company tracks scope 2 Greenhouse Gas (GHG) emissions | | | | |
| 9 | Company tracks scope 3 Greenhouse Gas (GHG) emissions | | | | |
| 10 | Company has a set of Greenhouse Gas emission targets | | | | |
| 11 | Company has a set of water usage targets | | | | |
| 12 | Company has emergency protocols in place for liquid/air contamination incidents and methods of cleanup | | | | |
| 13 | Company has a waste and hazardous waste management system | | | | |
| 14 | Company has a chemical management system | | | | |
| 15 | Company conducts training regarding environmental affairs | | | | |
| Points for compliance with environmental management | | 0 | #DIV/0! | | |
| V) ETHICS | | | | | |
| 1 | Company has written anti-bribery/corruption Policy | | | | |
| 2 | Company has written conflict of interest Policy | | | | |
| 3 | Company has Gifts and entertainment Procedure | | | | |
| 4 | Company has an implemented process for Information security | | | | |
| 5 | Company has a whistleblower protection Procedure | | | | |
| 6 | Company has a fair dealing and competition Policy | | | | |
| 7 | Company has trained their employees to prevent unethical behaviour | | | | |
| Points for compliance with ethics | | 0 | #DIV/0! | | |

Comments :

Overall Rating:

| | | | | | |
|--|----------------|---------|---|---|---|
| | Not in Place | #DIV/0! | | | 0 |
| | In Place | #DIV/0! | | 0 | |
| | Not Applicable | | 0 | | |

| Score by Topic | Total Satisfactory Points | Rating by Topic |
|--------------------|---------------------------|-----------------|
| Human rights | 0 | #DIV/0! |
| Working Conditions | 0 | #DIV/0! |
| H&S | 0 | #DIV/0! |
| Environment | 0 | #DIV/0! |
| Ethical Principles | 0 | #DIV/0! |
| TOTAL SCORE | 0 | #DIV/0! |

| Sustainability Score | Cal. |
|----------------------|-----------|
| Sustainable Leader | > 70% |
| Work in Progress | 20% - 69% |
| Basic Level | 0% - 19% |

CERTIFICATION:

I certify that the information contained in this form is accurate as of the present and indicated date.
I understand that the responses are and will be subject to inspection and evaluation by a representative of Prime Wheel, if required.

Signature _____ Title _____