

Supplier self-assessment questionnaire

Compliance and Corporate Responsibility Checklist

Compliance and Corporate Responsibility are an integral part of daily business at voestalpine group. We therefore kindly ask you to fill out this questionnaire completely and return a filled-in version to: cr@voestalpine.com. In addition, please attach any relevant documents as pdf or add the appropriate web-link(s).

Please note that by filling out this questionnaire, you agree that this information may be shared within voestalpine group and other third parties, e.g. voestalpine customers.

If you have any questions regarding the questionnaire please do not hesitate to contact our Corporate Responsibility department: cr@voestalpine.com

Company name: -----

Site Details: -----

Homepage: -----

Number of employees: -----

Corporate group affiliation / major
Shareholder: -----

Is there a person in the company responsible for:

Corporate Responsibility: yes no

Legal/Compliance: yes no

Environmental issues: yes no

Health & Safety: yes no

General Information

1. Does your company follow one of those frameworks/initiatives/charters?
(Answers for group-level or parent company are valid for this question)
 Please tick yes or no and add the appropriate document(s) or web-link(s).

	yes	no	Web-link
UN Global Compact			
United Nations Declaration of Human Rights			
GRI (or similar guidelines)			
IRMA			
Bettercoal			
EITI (<i>Extractive Industries Transparency Initiative</i>)			
CSR Report			
Other:			

Working Conditions

(Answers for group-level or parent company are valid for this question)

2. Does the company prohibit child labour at all sites?
 yes no

3. Does the company prohibit forced and compulsory labour at all sites?
 yes no

4. Are employees free to join a union?
 yes no

5. Percentage of employees covered by collective bargaining agreement?
----- %

Environment

6. Does your company (site) have a statement/report/certificate on the following topics?
Please tick yes or no and attach a copy or add web-link(s).

	yes	no	Web-link
Environmental Statement or Programme			
Environmental Management System *			
Energy Management System (ISO 50001)			
Monitoring of Energy Use			
Monitoring of GHG emissions			
Measurement of air quality and monitoring of emissions (NO _x , SO _x , dust)			
Policy of Responsible sourcing of raw materials			
Monitoring of water use and water quality			
Waste management and waste reduction programmes			
Responsible management of chemical substances			

* Environmental Management Systems are: ISO 14001, ISO 14006:2011, RC 14001, EMAS or similar

Occupational Health & Safety

7. Does your company (site) have a statement/report/certificate on the following topics?
Please tick yes or no and attach a copy or add web-link(s).

	yes	no	Web-link
Occupational Health & Safety Management System *			

* Occupational Health & Safety Management Systems are: OHSAS 18001, ISO 18001, ISO 45001, ILO or similar

8. Does the company (site) provide protective clothing and equipment for all relevant employees?

yes

no

Compliance

9. Does your Company have a system in place that ensures that your Company (including all affiliated companies), your employees as well as third parties acting on your behalf do not commit corruption or breach any antitrust or competition laws both according to Austrian law as well as to the laws governing the business relationship? *(Answers for group-level or parent company are valid for this question)*

yes

no

10. Do you comply with all national laws and regulations as well as other applicable standards?

yes

no

11. Does your Company have written principles concerning the topic Compliance and social responsibility, e.g. a Code of Conduct applying to all employees?
(Answers for group-level or parent company are valid for this question)
Please tick yes or no and add the appropriate document(s) or web-link(s).

	yes	no	Web-link
Code of Conduct			
Supplier Code of Conduct			
Other:			

12. Does your company offer regular and/or on-going trainings and information to the employees especially regarding Compliance and Anti-Trust?
- yes no
13. Does your company have a procedure to detect, eliminate and prohibit situations in which manager or workers have a potential conflict between the companies' interest and their own?
- yes no
14. Are you willing to confirm and comply with the [Code of Conduct for voestalpine Business Partners?](#)
- yes no
15. Do you use reasonable efforts to promote compliance with the Code of Conduct for voestalpine Business Partners or your own equivalent code among your suppliers?
- yes no
16. Do you work towards compliance with statutory specifications and promotion of a fair competition with your suppliers and contracting partners? (e.g. in commercial contracts, terms and conditions of purchase, etc.)
- yes no

17. Is your sourcing decision influenced by compliance with the Code of Conduct for voestalpine Business Partners or your own equivalent code?

yes

no

18. Has your company (including all *affiliated* companies) established a process of continuous due diligence to counter corrupt practices? (*Answers for group-level or parent company are valid for this question*)

yes

no

If yes:

a. Does the process include tracking and communicating on, how you address potential and actual corrupt practices?

yes

no

b. Do you take corrective actions if you identify a breach of Code of Conduct for voestalpine Business Partners or your own equivalent code by a supplier?

yes

no

19. Has your company (including all affiliated companies) been convicted of corruption, bribery, or infringement of antitrust or competition law during the past 5 years?

yes

no

If "yes" please specify the sanctions that have been imposed on your company?

The supplier hereby confirms that the content and statements in the completed questionnaire are true and accurate.

Date: -----

Name and position: -----

(please use block letters)

Signature: -----