

07.11.2011

Sofies Construction's supplier self-assessment questionnaire

Our company is committed to a sustainability policy which includes respect for universally recognised standards for the environment, human and labour rights, and anti-corruption.

The enclosed supplier self-assessment questionnaire is designed to give us a better understanding of your company and your performance in relation to the above-mentioned areas.

The topics included in the questionnaire are in accordance with the terms and standards of our supplier Code of Conduct.

We kindly ask you to fill out the questionnaire. Please use the "comments" box if you find that a simple "comply/not comply" answer is not enough, or if a statement containing more than one aspect requires differentiated answers. You are also welcome to provide further explanations in a separate document. This will help us to better assess your performance.

If you have any questions regarding the questionnaire, please do not hesitate to contact us.

Kind regards,

Sofies Construction

Supplier self-assessment questionnaire

I. General terms and standards of the Code of Conduct

Legal Compliance

	Comply	Not Comply	Not Applicable	Comments
The supplier complies with all national laws and regulations as well as other applicable standards (e.g. collective bargaining agreements or other Codes of Conduct).				

1. Forced Labour

1.1 Forced Labour and Freedom of Movement

1.1 Forced Labour and Freedom of Movement	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier must not participate in, or benefit from, any form of forced labour including bonded labour, forced prison labour, slavery, servitude, or human trafficking. Workers must have the freedom of movement during the course of their employment.				

1.2 Retention of monetary and/or material goods

1.2 Retention of monetary and/or material goods	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier must not withhold any part of any personnel's salary, benefits, property or documents (e.g. identity cards and travel documents) in order to force such personnel to continue working for them.				

1.3 Disciplinary measures

1.3 Disciplinary measures	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier shall treat all personnel with dignity and respect. The supplier shall not engage in or tolerate the use of corporal punishment, mental or physical coercion and verbal abuse of personnel.				

2. Child Labour and Young Workers

2.1 Minimum Age Requirements

2.1 Minimum Age Requirements	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier shall not engage in, or benefit from, the use of child labour. The minimum age for employment shall not be less than the age of completion of compulsory schooling and, in any case, shall not be less than 15 years (or 14 years where established by national laws in accordance with the ILO developing-country exception).				

2.2 Educational Remediation Programme

2.2 Educational Remediation Programme	Comply	Not comply	Not applicable	Please explain how you comply or not comply
If the supplier becomes aware that it is employing children of school age, it shall ensure that the children are enrolled in a remediation programme, rather than being summarily terminated from employment. The programme				

shall include access to education and financial support and shall be decided in consultation with the child and family or next of kin.				
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2.3 Light Work and Apprenticeship Programmes

2.3 Light Work and Apprenticeship Programmes	Comply	Not comply	Not applicable	Please explain how you comply or not comply
Where permitted by national laws, the supplier may employ children between 12 and 15 to perform a few hours of light work per day. The work must be simple tasks of a limited nature and not interfere with the children's educational responsibilities. Apprenticeship programmes for children below the minimum age of employment must be remunerated and clearly aimed at training.				

2.4 Hazardous and Harmful Work

2.4 Hazardous and Harmful Work	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier shall refrain from hiring young workers (below 18 years of age) to perform any type of work, which is likely to jeopardise their health, safety or morals.				

3. Discrimination

3.1 Discrimination in Employment-related Decisions

3.1 Discrimination in Employment-related Decisions	Comply	Not comply	Not applicable	Please explain how you comply or not comply

<p>The supplier shall not engage in or support discrimination on the basis of race, colour, sex, language, religion, political or other opinion, caste, national or social origin, property, birth, union affiliation, sexual orientation, health status, family responsibilities, age, and disability or other distinguishing characteristics. Hiring, remuneration, benefits, training, advancement, discipline, termination, retirement or any other employment-related decisions shall be based on relevant and objective criteria.</p>				
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4. Freedom of Association

4.1 The Right to Freedom of Association and Collective Bargaining

4.1 The Right to Freedom of Association and Collective Bargaining	Comply	Not comply	Not applicable	Please explain how you comply or not comply
<p>The supplier must not interfere with the workers' rights to form and join unions or other associations of their own choosing, and to bargain collectively. Nor shall the supplier discourage membership of unions. Workers' representatives shall not be subject to discrimination and shall be given access to employees at the workplace. The supplier must recognise elected workers' representatives and bargain in good faith with them regarding all important concerns at the workplace.</p>				

4.2 Alternative Measures in Case of State Prohibition on Unions

4.2 Alternative Measures in Case of State Prohibition on Unions	Comply	Not comply	Not applicable	Please explain how you comply or not
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				comply
If trade unions are not allowed in the area of operation, or only state authorised organisations are allowed, then the supplier shall facilitate, and not prevent, alternative measures to allow employees to gather independently to discuss work-related matters and a forum to present work-related concerns to management.				

5. Workplace Health and Safety

5.1 Health and Safety Standards

5.1 Health and Safety Standards	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier shall ensure that its workers are offered a safe and healthy working environment. This should include but not limited to protection from fire, accidents and toxic substances. Adequate health and safety policies and procedures must be established and followed.				

5.2 Training and Protective Gear

5.2 Training and Protective Gear	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier shall provide its employees with the protective equipment and training necessary to perform their tasks safely.				

5.3 Sanitary Infrastructure

5.3 Sanitary Infrastructure	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier must provide a suitable, clean and sanitary infrastructure, including access to toilets and potable water, which conforms to the needs and numbers of its employees. Accommodation, if provided by the supplier, shall conform to the same requirements, including the general provisions on health and safety standards listed above.				

6. Conditions of Employment and Work

6.1 Workplace Violence, including Assault, Harassment and Threats

6.1 Workplace Violence, including Assault, Harassment and Threats	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier shall protect workers from acts of physical, verbal, sexual, or psychological harassment, abuse, or threats in the workplace, whether committed by managers or fellow workers including when determining and implementing disciplinary measures.				

6.2 Remuneration

6.2 Remuneration	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier shall comply with legal minimum standards or industry benchmark standards concerning wages and benefits, whichever is higher. In any case, the supplier shall always provide a 'living wage', which enables workers to meet the basic				

needs of themselves and their dependents, as well as provide some discretionary income. Overtime shall be remunerated at a premium rate. Wages shall be paid in legal tender and on a regular basis. Deductions from wages shall be transparent and must never be used as a disciplinary measure.				
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6.3 Established Working Relationship

6.3 Established Working Relationship	Comply	Not comply	Not applicable	Please explain how you comply or not comply
All workers shall be provided with a written, understandable, and legally binding labour contract. The supplier shall not rely on part-time, short-term or casual labourers, trainees or false apprenticeships to pay lower wages and fewer benefits. Provisions for non-permanent and seasonal workers should be no less favourable than for permanent workers.				

6.4 Leave

6.4 Leave	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier shall grant employees paid holiday and sick leave each year, as well as parental leave to employees who must care for a newborn or newly adopted child. Women, who take maternity leave, must not face dismissal or threat of dismissal, and shall be able to return to work in their former employment at the same rate of pay and benefits.				

6.5 Hours of Work, Rest Periods and Breaks

6.5 Hours of Work, Rest Periods and Breaks	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier shall ensure that the work-week is limited to 48 hours. Overtime shall be voluntary, infrequent, and must not exceed 12 hours per week. Employees are entitled to at least one day off per week, and shall be given reasonable breaks while working and sufficient rest periods between shifts.				

6.6 Employee Privacy

6.6 Employee Privacy	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier shall respect the privacy rights of its employees whenever it gathers or keeps private information or implements employee-monitoring practices.				

7. Use of Company Security Forces

7.1 Company Security Forces

7.1 Company Security Forces	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier shall prevent its security guards from violating the liberty and security of others. Security guards shall be trained to know when to intervene in security-related situations and how to use the minimal force necessary.				

7.2 Relations to State Security Forces

7.2 Relations to State Security Forces	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier shall take all reasonable measures to avoid involvement or complicity in human rights violations in its relationships and interactions with state security forces.				

8. Land Management

8.1 Purchase of Land

8.1 Purchase of Land	Comply	Not comply	Not applicable	Please explain how you comply or not comply
Before purchasing land, the supplier shall seek the prior and informed consent of all legal and/or customary owners.				

8.2 Relocation

8.2 Relocation	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier shall ensure that it does not participate in or benefit from improper forced relocations. The supplier shall also adequately compensate inhabitants in legitimate relocations.				

9. Environmental protection and industrial accidents

9.1 Managing Environmental Aspects

9.1 Managing Environmental Aspects	Comply	Not comply	Not applicable	Please explain how you comply or not comply

9.2 Complying with Environmental Legislation

9.2 Complying with Environmental Legislation	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier shall maintain awareness of current environmental legislative requirements, which are relevant to the environmental impacts of its activities, products and services. Also, it must ensure legal compliance through training, awareness, operational control and monitoring.				

9.3 Continuously Improving Environmental Performance

9.3 Continuously Improving Environmental Performance	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier shall demonstrate continuous improvements of the overall environmental performance related to significant environmental aspects.				

9.4 Industrial Accidents and Health Emergencies

9.4 Industrial Accidents and Health Emergencies	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier shall establish and maintain emergency procedures to				

effectively prevent and address all health emergencies and industrial accidents that can affect the surrounding community or have an adverse impact on the environment.				
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10. Company Products

10.1 Products Liability

10.1 Products Liability	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier shall exercise due diligence when designing, manufacturing, and testing products. This is to protect against product defects which could harm the life, health or safety of people likely to be affected by the defective product, or have an adverse impact on the environment.				

11. Corruption and Bribery

11.1 Bribing of Government Officials and private parties

11.1 Bribing of Government Officials and private parties	Comply	Not comply	Not applicable	Please explain how you comply or not comply
The supplier shall refrain from bribing, or using any other method, to unjustly influence public officials, the judiciary and/or private parties.				

11.2 Agents, intermediaries and consultants

11.2 Agents, intermediaries and consultants	Comply	Not comply	Not applicable	Please explain how you comply or not

				comply
The suppliers' contracts with agents, intermediaries and consultants shall include a section on anti-corruption and that the contract holder must comply with all applicable laws and regulations.				

II. Implementation of the Code of Conduct

Records and Documentation

	Comply	Not Comply	Not Applicable	Comments
The supplier maintains appropriate records to demonstrate compliance with the terms of the Code				
Names and ages of all workers				
Time sheets				
Payroll records including wage slips and overtime wage records				
Material safety data sheets, accident records and relevant health and safety certificates and permits				
Environmental records including data from the monitoring of significant environmental impacts and relevant permits				
Records of any significant instances of non-compliance encountered in relation to the Code				
Records of corrective actions taken to remedy deficiencies				

Definition of Roles and Responsibilities

	Comply	Not Comply	Not Applicable	Comments
The supplier has assigned responsibilities within its organisation for the implementation of the Code				

The supplier has appointed a management representative(s) with the responsibility and authority to ensure compliance with the terms of the Code.				
The supplier has appointed a qualified health and safety officer at each facility responsible for planning, implementing and monitoring the supplier's health and safety policies and procedures.				
Workers have freely elected a representative responsible for facilitating dialogue and communication between the supplier and its employees on all matters relating to the Code.				
The supplier ensures that repeated offences and serious neglect by any of its personnel in relation to matters pertaining to the Code will result in appropriate disciplinary actions, which may include dismissal from employment.				

Training and Awareness Raising

	Comply	Not Comply	Not Applicable	Comments
The standards included in the Code are communicated to all new employees including managers and supervisors, immediately upon hiring.				
The supplier ensures that all employees are regularly informed about the standards and terms of the Code of Conduct, as well as the necessity to act in accordance with them.				
The supplier ensures that in areas with high illiteracy rates, employees receive verbal instructions.				
The Code is always accessible to all employees and in the local languages whenever appropriate.				
The Code is transmitted to local unions or other workers' representatives.				

Complaints Procedures

	Comply	Not Comply	Not Applicable	Comments
The supplier has established mechanisms for hearing, processing, and settling complaints of employees.				
Workers have the right to anonymously submit complaints regarding all workplace concerns, including complaints regarding the supplier's failure to comply with the Code, without fear of punishment or adverse employment action.				
The supplier properly investigates, addresses and settles all complaints in accordance with its pre-established complaints procedure.				
Anyone affected by the supplier's activities has access to communicate concerns or submit complaints without discrimination or fear of reprisals. The supplier properly investigates, addresses and settles any complaints or concerns raised by local communities.				

Relations to Sub-suppliers

	Comply	Not Comply	Not Applicable	Comments
The supplier ensures that its respective sub-suppliers, including home-based workers or small farmers, comply with the terms and standards of the Code.				
The supplier requires sub-suppliers to inform the supplier about other business entities in the supply chain, which take part in the production of each order.				
The supplier screens and selects sub-suppliers based on their ability to meet the standards and terms of the Code.				
The supplier makes compliance to the terms and standards of the Code a				

condition of any agreement or contract that it enters into with sub-suppliers.				
The supplier undertakes reasonable efforts to check that sub-suppliers operate in conformance with the Code.				

Comments

Sofies supplier hereby confirms that the content and statements in the completed self-assessment give a truthful and accurate description of our compliance with Sofies Construction's Code of Conduct.

Sofies supplier