



STAKEHOLDER CONSULTATION - BRIEFING BOOK

Drive Sustainability Battery SAQ

About the Briefing book

Thank you for accepting the invitation to participate in the Drive Sustainability Stakeholder Consultation on the *DS Battery SAQ*.

This briefing book will help you prepare for the event. It includes content related and practical information. Should you still have any questions, please contact Luciana Rendace, Senior Project Manager at CSR Europe: lr@csreurope.org.

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INTRODUCTION

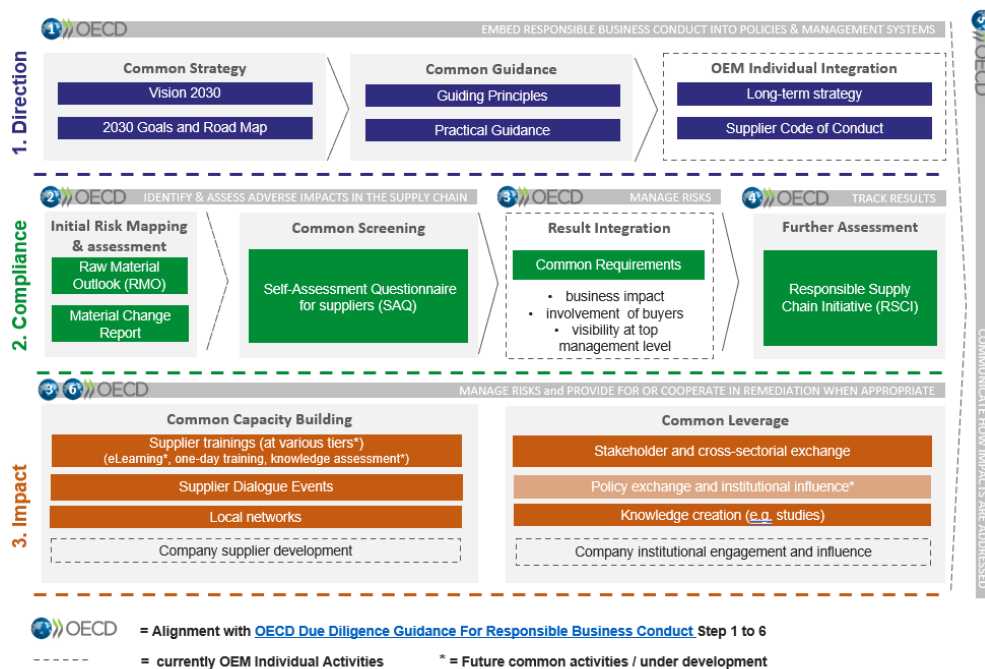
Context

About Drive Sustainability

[Drive Sustainability](#) (DS), the leading Automotive Partnership facilitated by CSR Europe, aims to drive sustainability throughout the automotive supply chain by promoting a common approach within the industry and by integrating sustainability into the overall procurement process.

The achievement of long-term, systemic improvement requires a long-term **integrated approach**. This approach consists of the following interconnected workstreams that complement each other:

- Direction (to provide guidance on sustainability expectations by setting the [Global Automotive Sustainability Guiding Principles](#))
- Compliance (to assess organizational adherence of suppliers to international regulations and standards as well as internal guidelines and targets along the supply chain)
- Impact (to support suppliers improve their sustainability performance with integrated training offers)



DS Sustainability Assessment Questionnaire (SAQ)

In 2014, DS members developed a [Sustainability Assessment Questionnaire \(SAQ\)](#) on CSR/ Sustainability as part of the industry's long-term aim to improve sustainability performance in the automotive supply chain. The SAQ is based on the [Global Automotive Sustainability Guiding Principles](#) and covers topics in areas such as social and environmental sustainability, business ethics, responsible supply chain management, and responsible sourcing of raw materials.

This solution allows to reduce the burden on suppliers (having to fill in many different questionnaires on sustainability from different buyers). The common SAQ is filled in by suppliers on an external service provider's platform, allowing suppliers to share the completed SAQ with several buyers.

The SAQ has the objective to indicate and verify supplier compliance on CSR/Sustainability topics through the assessment and verification of implementing a management system/s – defined as a combination of policies, processes, functions, tools, and internal controls– that help an organization to control its

operations, reach objectives and ensure continuous improvement. Usually, it represents one of the first steps in buyers' due diligence activities to assess and prioritize ESG risks. Based on the results of the SAQ, buyers may decide, on an individual basis, to conduct further due diligence activities. It is also important to keep in mind that this tool is intended to identify potential for improvement and not to exclude suppliers from buyers' supply chains.

The Battery SAQ

Considering the European Union's Batteries Regulation (EU-Batt-R), Drive Sustainability initiated the development of a **Battery SAQ** in February 2024 to reflect and to integrate the due diligence requirements of the legislation, with a specific focus on the risk categories outlined in Annex X.

The Battery SAQ builds upon Drive Sustainability's existing SAQ framework. While SAQ primarily assesses the sustainability performance of direct suppliers, the Battery SAQ extends this assessment to include midstream and upstream suppliers.

Following a gap analysis of SAQ against the risk categories outlined in Annex X of the EU-Batt-R (see Annex 2), Drive Sustainability tailored the standard questionnaire to cover all identified gaps and remove irrelevant questions. The questionnaire has also been tailored to all battery supply chain actors (tier 1-N), considering their use of SAQ. Indeed, unlike SAQ, which is mainly used for direct suppliers, the Battery SAQ has been designed to cover the entire battery supply chain. For suppliers who already have completed SAQ, there will be only a limited number of additional questions and the SAQ results will be fully considered.

The implementation of the Battery SAQ would work as described in Figure 1.

Like the standard SAQ, the primary objective of the Battery SAQ is to conduct a comprehensive risk assessment not to exclude any supplier but to enable them to collaboratively enhance human rights and environmental performance throughout the entire battery supply chain,pliers. Each OEM will incorporate this information into their own risk analysis tools to develop specific measures, such as audits, training sessions, or on-the-ground projects.

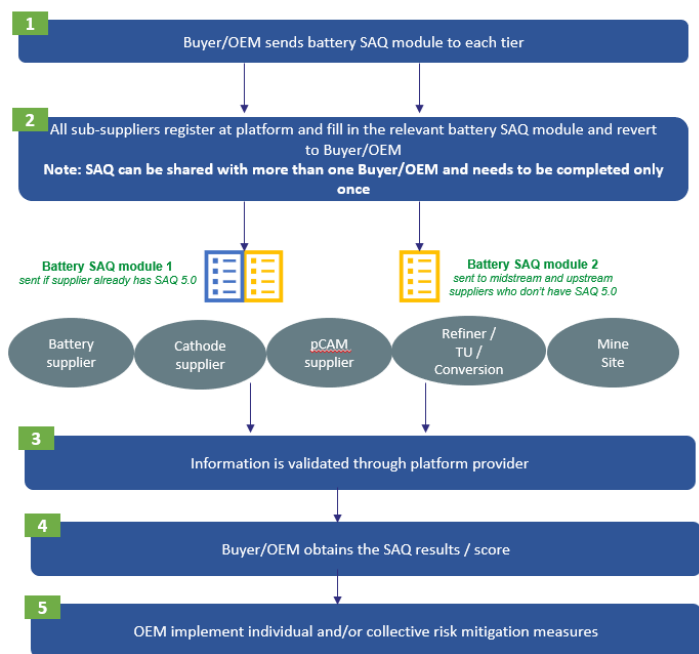


Figure 1: Battery SAQ architecture

The European Union’s Batteries Regulation

The Regulation was adopted on 17 August 2023 and repeals the previous Battery Directive of 2006 (Directive 2006/66/EC)¹⁴. The EU-Batt-R will take effect on 18 August 2025. The Regulation outlines the new EU framework for the responsible production of batteries. It aims to 1) reduce the environmental and social impacts throughout all stages of the battery life cycle, 2) promote a circular economy, and 3) strengthen the functioning of the internal market. The Regulation sets a broader perspective on due diligence, which extends beyond specific regions or isolated interventions. It aligns due diligence expectations with authoritative international normative due diligence instruments: the OECD MNE Guidelines, the OECD RBC Guidance, and the UNGPs. A high-level overview of the due diligence obligations is outlined below.

Supply chain actor	Which Articles apply	Overview of obligations
Supplier (tier n)	<ul style="list-style-type: none"> Chapter VII, Article 49 (2b,2d) Chapter VII, Article 50 (1b(iii)) 	<ul style="list-style-type: none"> Article 49(2b,2d): Provide name, address, and country of origin to the economic operator, as well as disclose any preceding market transactions Article 50 (1b(iii)): engage in mitigation with economic operator implementing risk management Article 39: Share supply chain information with economic operator free of charge
The economic operator that places battery on the market	<ul style="list-style-type: none"> Chapter III Chapter VI Chapter VII Chapter VIII (specifically, Articles 56 and 59) 	<ul style="list-style-type: none"> Article 7: Carbon footprint declaration Article 11: Removability and replaceability of batteries Article 13: Marking, labelling, and information obligations <p><u>Due diligence requirements</u></p> <ul style="list-style-type: none"> Establish a comprehensive due diligence management system (detailed overview provided in Section 3 and Section 4 of this report)¹
Recycler	<ul style="list-style-type: none"> Chapter VI, Article 45 Chapter VIII, Article 61, 71, 73 	<p>Recycling companies have specific obligations under this Regulation, which include:</p> <ul style="list-style-type: none"> They need to make sure that any components subjected to these operations meet quality control and safety standards (Article 45). Batteries they handle must comply with this Regulation and other relevant laws concerning product quality, environmental protection, human health, and transport safety. This is important because these operations might change the battery's category (Article 45). If they're involved in remanufacturing, they must be able to prove that the battery meets the Regulation's requirements (Article 45). Recycling facilities must accept and prepare batteries for re-use, repurposing, or recycling, as required (Article 71(1)). Recyclers must ensure that their recycling processes meet the targets for recycling efficiency and material recovery set out in Annex XII (Article 71(2))
Waste Manager	<ul style="list-style-type: none"> Chapter VIII 'Management of Waster Batteries', specifically Articles 57 and 75. 	<ul style="list-style-type: none"> Report to the competent authority for each calendar year the amount of waste portable batteries and waste LMT batteries collected (incl. origin) according to their chemistry

(Source: Levin Sources' report "[Analysis of the EU Batteries Regulation](#)" (2023))

¹ Levin Sources, [What the EU Batteries Directive Means for Battery Mineral Supply Chains - Levin Sources, 5 October 2023](#)

STAKEHOLDER CONSULTATION

Objective

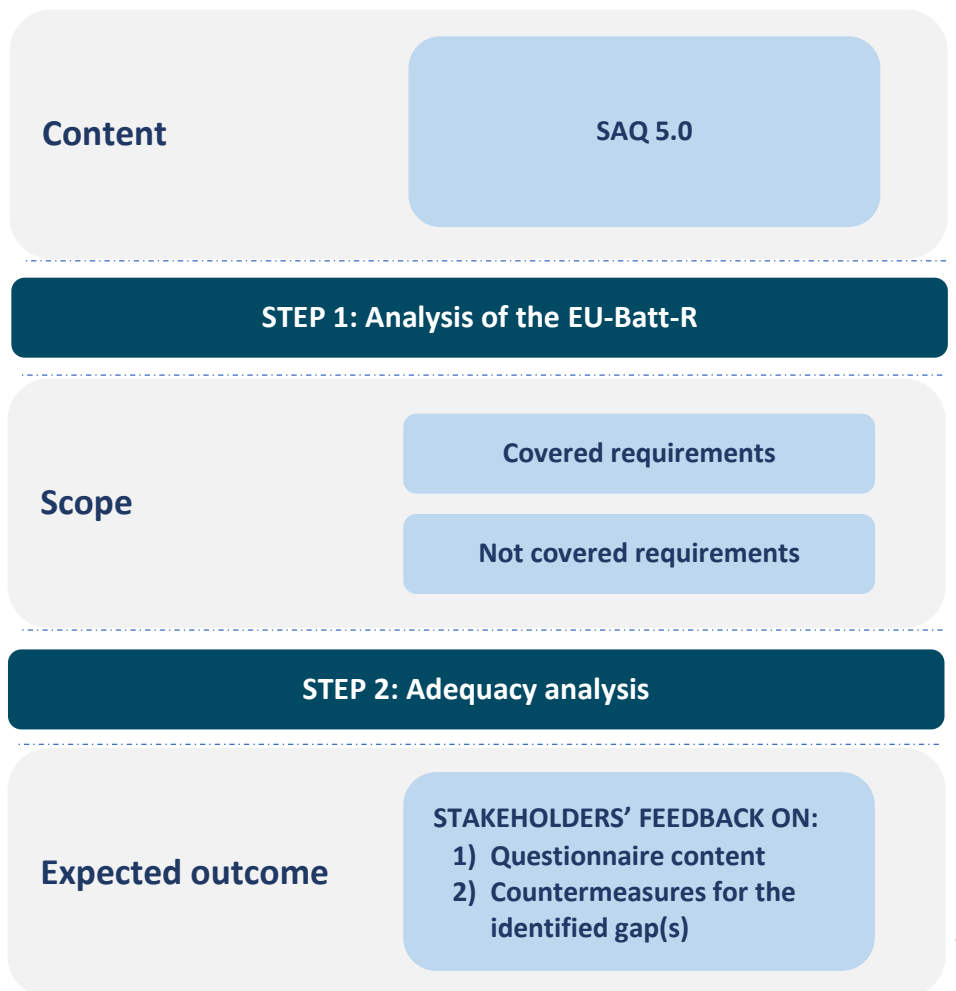
The Stakeholder Consultation aims to consult subject matter experts (SMEs) and relevant stakeholders on the validity of the Battery SAQ as a tool to meet the requirements of the EU-Batt-R.

Participating stakeholders (policymakers, civil society organizations, companies, and associations) will be requested to provide feedback on the implemented changes and the content of the questionnaire.

The primary objective of the consultation will be to assess to what extent the Battery SAQ covers the due diligence requirements outlined in the regulation and the risk categories in Annex X, serving its main purpose and essence of being an evidence-based tool for the automotive industry, as well as detecting any potential gap(s) that should be addressed through different tools and frameworks.

We highly value your feedback and assure you that it will be carefully considered, though we cannot guarantee that every suggestion will be incorporated.

Step-by-step revision process (exchange guidelines)



PRACTICAL INFORMATION

Feedback form

Please provide written feedback using this [form](#) by 15 September 2024 EOB.

Contact details

- Luciana Rendace, lr@csreurope.org
- Catalina Pislaru: cp@csreurope.org

Useful Sources

[EU Batteries Regulation 2023](#)

Levin Sources' report "[Analysis of the EU Batteries Regulation](#)" (2023)

Drive Sustainability [SAQ 5.0](#) (standard SAQ, available in 13 languages)

Gap analysis of the SAQ against the risk categories of the EU-Batt-R (pages 38-40)

We look forward to your contribution!

ANNEX 1



Self-Assessment Questionnaire on the due diligence requirements of the EU-Batt-R for Automotive Sector Suppliers

The questionnaire relates to both parent company and site level:

- > Site refers to “the industrial location where production takes place”;
- > Parent company refers to the “group top parent of the requested location/site”;
- > Headquarters refers to “the local administrative centre of an enterprise”.

Site:

Name:

Address of site (country, city and/or street):

Number of employees working on site (incl. agency workers):

0-9

10-49

50-99

100-249

250-499

≥500

≥1000

≥2000

≥3000

≥4000

≥5000

≥10000

≥50000

Headquarter: Yes/No

Site Supplier ID: (fill in those that apply)

DUNS number:

Other (please specify):

Parent Company:

Name:

Address of parent company (country, city and/or street):

Number of employees working on site (incl. contract workers):

0-9

10-49

50-99

100-249

250-499

≥500

≥1000
 ≥2000
 ≥3000
 ≥4000
 ≥5000
 ≥10000
 ≥50000
 Parent Supplier ID: (fill in those that apply)
 DUNS number:
 Business area:

A. COMPANY MANAGEMENT (GENERAL)	BACKGROUND INFORMATION	SUPPORTED EVIDENCE
<p>1. Has your company appointed senior management representation for environmental, social, ethics or human rights?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>1a. Does your company have a management person responsible for Social Sustainability? *</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, please provide:</p> <p>Name: <input type="text"/> E-mail: <input type="text"/> Job title: <input type="text"/></p> <p>1b. Does your company have a management person responsible for Compliance/Business Ethics? *</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, please provide:</p> <p>Name: <input type="text"/> E-mail: <input type="text"/> Job title: <input type="text"/></p> <p>1c. Does your company have a management person responsible for Environmental Sustainability? *</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, please provide:</p> <p>Name: <input type="text"/></p>	<p>Companies are expected to appoint a senior management representative who, irrespective of other responsibilities, serves as a management person responsible for ensuring that the company meets its commitment related to social sustainability, compliance/business ethics and environmental sustainability. Companies should also determine clear responsibilities (in terms of time dedication) of designated representatives to the respective function, with proper documentation (e.g. job description).</p> <p>For companies that fall within the scope of the German Supply Chain Due Diligence Act (LkSG), the official person responsible for social sustainability may also be considered responsible for human rights-related topics required by the law.</p> <p>The contact details that you provide in response to this question will not be contacted without prior notice. In the first instance, enquiries will be directed to the person that completes this sustainability-assessment questionnaire.</p> <p>Social sustainability relates to practices that contribute to the quality of life of both employees and communities that could be impacted by the company's operations. Companies should respect the human rights of workers and treat all people with dignity as recognized by the international community. Examples of social topics to address include non-discrimination, freedom of association and health and safety. (See Section B - Working Conditions and Human Rights)</p>	

<p>E-mail: <input type="text"/></p> <p>Job title: <input type="text"/></p>	<p>Compliance relates to the principles that guide business conduct in its relations towards its business partners and customers. Companies are expected to uphold the highest standards of integrity and to operate honestly and equitably throughout the supply chain in accordance with local laws. Examples of unethical business practice include corruption, unfair competition, and conflicts of interest. (See Section C - Business Ethics)</p> <p>Environmental sustainability relates to practices that contribute to the quality of the environment on a long-term basis. Companies are expected to support a proactive approach to environmental responsibility by protecting the environment, conserving natural resources and reducing the environmental footprint of their production, products and services throughout their life cycle. Examples of company practices include reducing greenhouse gas emissions and waste reduction programmes. (See Section D - Environment)</p>	
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A. COMPANY MANAGEMENT (GENERAL)	BACKGROUND INFORMATION	SUPPORTED EVIDENCE
<p>1d. Does your company have a management person responsible for monitoring sustainability risks (e.g. a Human Rights Officer)? *</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p>If yes, please provide:</p> <p>Name: <input type="text"/></p> <p>E-mail: <input type="text"/></p> <p>Job title: <input type="text"/></p> <p>* Please fill out the contact details, even if the person is the same as above.</p>	<p>Companies benefit significantly from appointing a Human Rights Officer (HRO) or similar title, with the task of monitoring sustainability and/or human rights risks. This task is best performed if kept strictly separate from the everyday ongoing operational due diligence. The six criteria below demonstrate if this is the case:</p> <ul style="list-style-type: none"> > The HRO regularly checks operational compliance with the company's human rights and environmental policies and statutory requirements. > The HRO is available to all staff for advice on human-rights and environmental issues. > The HRO might make suggestions for remedial actions regarding violations identified but other staff carries out the action. > The HRO liaises with senior management and proposes risk management improvements. > The HRO reports to senior management but is not bound by superiors' instructions (e.g. the HRO is, by contract, protected 	

	<p>against dismissal).</p> <ul style="list-style-type: none"> > The HRO briefs senior management, at least once a year, on risk management position. 	
<p>2. Does your company publish a Corporate Social Responsibility (CSR)/Sustainability Report?</p> <p><input type="checkbox"/> Yes, as a separate report according to Global Reporting Initiative (GRI) or other globally accepted standard Please upload report and specify which standard</p> <div style="border: 1px solid black; height: 100px; width: 100%;"></div> <p><input type="checkbox"/> Yes, as an integrated part of the Annual Report, e.g. Annual and Sustainability Report, according to GRI or other globally accepted standard Please provide the name of the globally accepted standard</p> <div style="border: 1px solid black; height: 100px; width: 100%;"></div> <p><input type="checkbox"/> Yes, but not according to globally accepted standards Please provide the name of the alternative standard</p> <div style="border: 1px solid black; height: 30px; width: 100%;"></div> <p><input type="checkbox"/> No</p>	<p>A CSR/Sustainability report is an organisational report that gives information about economic, environmental, social, and ethical performance.</p> <p>Examples of CSR/Sustainability reports aligned to internationally recognized standards and frameworks are:</p> <ul style="list-style-type: none"> > GRI (GRI's Sustainability Reporting Standards) > ISO 26000 Guidance on Social Responsibility > Climate Disclosure Standards Board (CDP-CDSB) > United Nations Global Compact - Communication on Progress (UNGC-COP) > AFAQ 26000 Sustainable Development <p>In the European Union (EU), the EU Directive on the disclosure of non-financial and diversity information Directive 2014/95/EU sets out the rules on disclosure of non-financial and diversity information by large companies. Subsequently, the Directive was transposed into the national legislation of EU Member States with some differences in implementation between countries.</p>	<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • GRI (GRI's Sustainability Reporting Standards) • ISO 26000 Guidance Social Responsibility • Climate Disclosure Standards Board (CDP-CDSB) • United Nations Global Compact - Communication on Progress (UNGC-COP) • AFAQ 26000 Sustainable Development <p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Sustainability Accounting Standards Board (SASB) • International Integrated Reporting Council (IIRC) • United Nations Environment Program Finance Initiative (UNEP-FI) • International Financial Reporting Standards (IFRS) <p><u>Currently accepted evidence:</u> A document covering CSR/Sustainability that follows a report format</p> <p>-</p>
<p>2a. If answered "Yes" to Q2, is the most recent report assured by a third party?</p> <p><input type="checkbox"/> Yes, the assurance letter is included in the report</p> <p><input type="checkbox"/> Parts are assured, the scope is explained in the assurance letter Please upload the relevant document</p>		<p><u>Currently accepted evidence:</u> A third- party auditors letter or statement that contains the third party auditors assurance of the CSR/sustainability report</p> <p><u>Currently accepted evidence:</u> A third- party auditors letter or a document that contains the third party auditors assurance of the CSR/sustainability report</p>

<input type="checkbox"/> No		-
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A. COMPANY MANAGEMENT (GENERAL)	BACKGROUND INFORMATION	SUPPORTED EVIDENCE
<p>2b.1. If answered "Yes" to Q2, what human rights elements are disclosed in the CSR report?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Our company's identified potential and actual human rights risks <input type="checkbox"/> Description of existing measures that our company has already taken to address human rights risks and a review of the effectiveness of these measures <input type="checkbox"/> Description of future measures that our company plans to take to manage our human rights risks <input type="checkbox"/> We do not report on our company's human rights risks 		-
<p>2b.2. If answered "Yes" to Q2, what environmental elements are disclosed in the CSR report?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Our company's identified environmental risks <input type="checkbox"/> Description of existing measures that our company has already taken to address environmental risks and a review of the effectiveness of these measures <input type="checkbox"/> Description of future measures that our company plans to take to manage our environmental risks <input type="checkbox"/> We do not report on our company's environmental risks 		-
<p>2c. If answered "Yes" to Q2, does your company report annually on the fulfilment of statutory due diligence obligations (e.g. the German LkSG) in the previous year?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes Please upload relevant document <input type="checkbox"/> No 		<p style="text-align: center;">-</p> <p><u>Currently accepted evidence:</u> Report focused on due diligence related activities CSR/Sustainability report that covers due diligence activities Integrated report that includes due diligence activities</p> <p style="text-align: center;">-</p>
<p>3. Does your company have a Code of Conduct?</p>	<p>A Code of Conduct is a set of rules outlining the responsibilities or proper</p>	

<input type="checkbox"/> Yes Please upload relevant document	practice for an individual (employee) and organisation. It should cover social, ethical, and environmental aspects.	<u>Currently accepted evidence:</u> <ul style="list-style-type: none"> • Code of Conduct • Code of Ethics • Employee Handbook • Contractual terms and conditions if there is reference to Code of Conduct/Policies • CSR/Sustainability Policy if there is reference to employees and organisational responsibilities • ZVEI - Code of Conduct for Social Responsibility
<input type="checkbox"/> No		-
3a. If answered "Yes" to Q3, does your company organise training for your employees on the Code of Conduct?		
<input type="checkbox"/> Yes Please upload relevant document		<u>Currently accepted evidence:</u> <ul style="list-style-type: none"> • Training certificates • E-learning screenshots • Training materials e.g. slide deck presentations • Relevant management system certification e.g. environmental or health and safety • Other documents that evidence the topic area
<input type="checkbox"/> No, but we communicate the Code of Conduct through extranet/brochures, etc. Please upload relevant document		<u>Currently accepted evidence:</u> <ul style="list-style-type: none"> • Screenshot of intranet • Human resources (HR) or personnel manual • Employment contract covering relevant topic • Other documents that evidence communication on the code of conduct
<input type="checkbox"/> No		-

A. COMPANY MANAGEMENT (GENERAL)	BACKGROUND INFORMATION	SUPPORTED EVIDENCE
4. Does your company have a grievance mechanism or documented complaints procedure established at this location? <input type="checkbox"/> Yes Please upload relevant document	According to the UN " Protect, Respect and Remedy " Framework, companies must respect human rights and provide a remedy if their operations caused or contributed to adverse human rights impacts. Operational-level grievance	<u>Currently accepted evidence:</u> <ul style="list-style-type: none"> • SA8000 Social

<p><input type="checkbox"/> No</p>	<p>mechanisms, for those potentially impacted by a company's activities, are recommended as an effective process through which companies can enable remediation.</p>	<p>Management System</p> <ul style="list-style-type: none"> • Company handbook if it covers relevant issues • Human resources (HR) or personnel manual • Employment contract covering relevant topic • Instructions on how to access a mechanism (e.g. an employee handbook or training materials) • A process/procedure that is followed • Evidence of the grievance mechanism itself (e.g. screenshot of intranet portal or external portal agreement letter/invoice) • Screenshot of online mechanism
<p>4a. If answered "Yes" to Q4, what are the characteristics of your company's grievance mechanism or complaints procedure? Tick all that apply.</p> <p><input type="checkbox"/> Outlines who is responsible for the complaints procedure if applicable (there is a complaint body in place which third parties can contact directly or via an external service provider)</p> <p>Please provide the contact details</p> <p><input type="checkbox"/> The responsible person(s) entrusted by the enterprise is impartial, independent, and not bound by instructions</p> <p><input type="checkbox"/> The written rules of the complaints procedure outline the ways in which a complaint may proceed and indicates the approximate time each step may take</p> <p><input type="checkbox"/> The written rules of the complaint procedure are publicly made available in relevant local languages in all countries in which we operate</p> <p><input type="checkbox"/> Complainant is provided confirmation of receipt upon reporting the complaint</p> <p><input type="checkbox"/> The complainant 's identity is treated confidentially</p> <p><input type="checkbox"/> Commitment to non-retaliation against complainants</p>	<p>-</p>	<p>-</p>

<ul style="list-style-type: none"> <input type="checkbox"/> Complaints can be reported anonymously <input type="checkbox"/> The complainant or their representative is consulted during remediation/resolution <input type="checkbox"/> Evaluation of complaints procedure effectiveness at least once every 12 months and on an adhoc basis <input type="checkbox"/> Appeal procedure <input type="checkbox"/> None of the above <p>4b. If answered "Yes" to Q4, what kind of complaints can be submitted? Tick all that apply.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Human rights complaints <input type="checkbox"/> Environmental complaints <input type="checkbox"/> Unethical business practices 		
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A. COMPANY MANAGEMENT (GENERAL)	BACKGROUND INFORMATION	SUPPORTED EVIDENCE
<p>4c. If answered "Yes" to Q4, which stakeholder groups is the complaints mechanism available to? Tick all that apply.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Internal Stakeholders (company/non-permanent employees, direct suppliers, service providers etc.) <input type="checkbox"/> External Stakeholders (contractors, indirect suppliers, local communities etc.) <input type="checkbox"/> Others <p>4d. If answered "Yes" to Q4, how does your company optimise accessibility of the complaints procedure for all the stakeholder groups that are entitled to use it? Tick all that apply.</p> <ul style="list-style-type: none"> <input type="checkbox"/> By carrying out trainings <input type="checkbox"/> By different media <ul style="list-style-type: none"> <input type="checkbox"/> Online <input type="checkbox"/> Phone <input type="checkbox"/> Email <input type="checkbox"/> App <input type="checkbox"/> By participating in a joint industry complaint procedure <input type="checkbox"/> None of the above 		

B. HUMAN RIGHTS AND WORKING CONDITIONS	BACKGROUND INFORMATION	SUPPORTED EVIDENCE
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<input type="checkbox"/> Rights of Minorities and Indigenous Peoples <input type="checkbox"/> Land, Forest and Water Rights and Forced Eviction <input type="checkbox"/> Use of Private or Public Security Forces <input type="checkbox"/> Community life <p>5b. If answered "Yes" to Q5, do you organize training for your employees on this policy?</p> <input type="checkbox"/> Yes Please upload relevant document <input type="checkbox"/> No, but we communicate it through Intranet/ Brochures, etc. Please upload relevant document <input type="checkbox"/> No	<p>Wages and benefits relate to the basic or minimum wage or salary and any additional entitlements payable directly or indirectly, in cash or in kind, by the employer to the worker and arising out of the worker's employment. Suppliers must provide their workers with remuneration in accordance with applicable regulations and prevailing industry practices; such remuneration should be adequate to cover basic needs and enable a decent standard of living for the workers and their family, which includes respecting minimum wages, overtime compensation, medical leave, and government-mandated benefits. Source: ILO-UNGC and the Global Automotive Sustainability Practical Guidance</p> <p>Working hours relate to regular workweeks that should not exceed 48 hours. A workweek shall be restricted to 60 hours in emergency situations, including overtime. All overtime shall be voluntary. Employees should have a minimum of one day off every seven days. Laws and regulations on the maximum number of working hours and time off shall be respected. Source: Ethical Trading Initiative, based on ILO conventions</p> <p>Modern slavery refers to all work or service exacted from any person under the menace of any penalty and for which that person has not offered themselves voluntarily. Examples include forced overtime, retention of identity documents, as well as human trafficking. Modern Slavery is subject to the Modern Slavery Act 2015 by the Parliament of the United Kingdom. This Act requires that companies, who meet identified criteria, publish a "slavery and human trafficking statement" every year six months after the end of the company's financial year. Source: International Labour Organisation (ILO) and The National Archives UK</p> <p>Ethical recruiting refers to hiring workers lawfully, in line with the International Labour Standards, and in a fair and transparent manner that respects human rights. Examples of unethical recruitment include misleading or defrauding potential workers about the nature of the work, asking workers to pay recruitment fees, and/or confiscating, destroying, concealing, and/or denying access to worker</p>	<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Training certificates • E-learning screenshots • Training materials e.g. slide deck presentations • Relevant management system certification e.g. environmental or health and safety • Other documents that evidence the topic area <p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Screenshot of intranet • Human resources (HR) or personnel manual • Employment contract covering relevant topic • Other documents that evidence communication on human rights and working conditions policy
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passports and other government-issued identity documents. Workers must receive a written notification at the start of their recruitment in a language well understood by them, stating in a truthful, clear manner their rights and responsibilities.

Source: ILO and the Global Automotive Sustainability Practical Guidance

Freedom of association relates to the right to freedom of peaceful assembly and to freedom of association at all levels, in particular in political, trade union and civic matters, which implies the right of everyone to form and to join trade unions for the protection of their interests. This includes collective bargaining, as a process of negotiations between employers and a group of employees, aimed at reaching an agreement that regulates working conditions.

Source: EU Charter of Fundamental Rights

Harassment is defined as a harsh and inhumane treatment - or the threat of such treatment - including any sexual harassment, sexual abuse, corporal punishment, mental or physical coercion or verbal abuse of workers. Source: Global Automotive Sustainability Practical Guidance.

Non-discrimination is a principle that requires the equal treatment of an individual or group, irrespective of their particular characteristics, including sex, race, colour, ethnic or social origin, genetic features, language, religion or belief, political or any other opinion, membership of a national minority, property, birth, disability, age or sexual orientation. Companies should pay equal remuneration for work of equal value not only with regard to gender but also all other potential bases for discrimination. This does not however, prohibit unequal payment due to different local living costs.

Source: EU Charter of Fundamental Rights

Women's rights refers to the principle that women are entitled to political, economic and social equality. Gender inequality underpins problems such as unequal opportunity in employment and unequal pay for equal work. The efforts for the advancement of women have resulted in several declarations and conventions, of which the [Convention on the Elimination of All Forms of Discrimination against Women](#) is the

central document. The Convention gives positive affirmation to the principle of equality by requiring States parties to take "all appropriate measures, including legislation, to ensure the full development and advancement of women, for the purpose of guaranteeing them the exercise and enjoyment of human rights and fundamental freedoms on a basis of equality with men" (article 3).

Source: Convention on the Elimination of All Forms of Discrimination against Women and Global Automotive Sustainability Practical Guidance

Diversity, equity and inclusion

relates to the principle that companies should develop and promote inclusive cultures where diversity is valued, celebrated and everyone is able to contribute fully and reach their full potential. Companies should encourage diversity in all levels of their workforce and leadership, including boards of directors.

Source: Global Automotive Sustainability Practical Guidance

Rights of minorities and indigenous peoples

refer to respect for the rights of local communities to decent living conditions, education, employment, social activities, and the right to Free, Prior, and informed Consent (FPIC) to developments that affect them and the lands on which they live, with particular consideration for the presence of vulnerable groups.

Source: Global Automotive Sustainability Practical Guidance

Land, forest and water rights and forced eviction

relates to the avoidance of forced eviction and the deprivation of land, forests and waters in the acquisition, development or other use of land, forests and waters.

Source: Global Automotive Sustainability Practical Guidance

Private or public security forces

refers to the commission or use private or public security forces to protect the business project if, due to a lack of training or control on the part of the company, the deployment of the security forces may lead to violations of human rights.

Source: Global Automotive Sustainability Practical Guidance

Community life may consist of several aspects, among them the

	<p>following ones:</p> <ul style="list-style-type: none"> • Protection of the rights of local and affected communities <p>The concept of communities encompasses a broad range of groupings including minorities, rural communities and other kinds of groups. Although “community rights” is not a defined concept in international law, community members are entitled to the full range of human rights. Moreover, given the social, economic and political structures and cohesion of communities, there may often be a collective aspect to their rights. In this regard, there may be commonalities between community rights and indigenous peoples’ rights, especially when projects impact lands and resources that concern entire communities rather than individuals. (Danish Institute of Human Rights)</p> <ul style="list-style-type: none"> • Forced evictions and/or expropriations of land, forests, bodies of water <p>Forced eviction is “the permanent or temporary removal against their will of individuals, families and/or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection” (UN OHCHR)</p> <p>Expropriation is the taking by the state of private property for public purposes, normally without compensation. (Oxford)</p> <ul style="list-style-type: none"> • Protection of the rights of indigenous peoples <p>Risk of indigenous peoples to face a range of human rights issues. Some of the most difficult human rights challenges for indigenous peoples stem from pressures on their lands, territories and resources as a result of activities associated with development and the extraction of resources. Their cultures continue to be threatened, and the protection and promotion of their rights resisted. (UN OHCHR)</p>	
<p>6. Does your site have a management system in place to manage the human rights and working conditions issues?</p> <p><input type="checkbox"/> Yes, we have an internationally recognised certified management system</p> <p>Please provide the following information:</p>	<p>A management system is a set of documented controls, processes and /or procedures reviewed by management. It could be internal or developed according to a standard (Certified Management System). Certified management systems provide enhanced assurance to stakeholders that a company is</p>	<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • SA8000 Social Management System • RSCI audit certificate (FULL label)

<p>Certification standard: <input style="width: 100%;" type="text"/></p> <p>Awarding body: <input style="width: 100%;" type="text"/></p> <p>Certificate number: <input style="width: 100%;" type="text"/></p> <p>Valid until: <input style="width: 100%;" type="text"/></p> <p>Please upload relevant document</p>	<p>committed to operate business in a sustainable manner and has implemented all the necessary processes. While the SAQ also recognises internally developed management systems, the highest score is achieved if a management system is certified according to internationally recognised standards.</p> <p>Relevant internationally accepted certification standards include:</p> <ul style="list-style-type: none"> > SA8000 Social Management System > RSCI audit certificate (FULL label) <p>A relevant third party assurance scheme could be the RMI ESG audit certificate (required evaluation tbd)*</p> <p>*To be confirmed after revision of the audit standard</p>	<ul style="list-style-type: none"> • Letter from the certification body confirming extension of certification as well as the original certificate <p><u>New supported evidence:</u></p> <ul style="list-style-type: none"> • RMI ESG audit certificate (required evaluation tbd)* • For community life, RSCI audit certificate (FULL label)* • In the future, any due diligence schemes recognized by the Commission (as per Article 53 (1) EUBR) <p>*To be confirmed after revision of the audit standard</p>
<p><input type="checkbox"/> Yes, we have a nationally recognised certified management system</p> <p>Please provide the following information:</p> <p>Certification standard: <input style="width: 100%;" type="text"/></p> <p>Awarding body: <input style="width: 100%;" type="text"/></p> <p>Certificate number: <input style="width: 100%;" type="text"/></p> <p>Valid until: <input style="width: 100%;" type="text"/></p> <p>Please upload relevant document</p>	<p><input type="checkbox"/> Yes, but the system is uncertified</p> <p>Please upload relevant document</p>	<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Any national certificate standards • Letter from the certification body confirming extension of certification as well as the original certificate
<p><input type="checkbox"/> No</p>		<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Employee handbook if it covers relevant issues • Process flow showing relevant procedures • Audit report or audit CAP • Screenshot of internal management system if it shows there is a clear link to a designated management system • Evidence of human rights and working conditions assessment and improvement

C. HEALTH AND SAFETY	BACKGROUND INFORMATION	SUPPORTED EVIDENCE
<p>7. Does your company have a formal written health and safety policy, which complies with local law, industry requirements and international standards?</p> <p><input type="checkbox"/> Yes</p> <p>Please upload relevant document</p>	<p>Health and safety refers to the science of the anticipation, recognition, evaluation and control of hazards arising in or from the workplace that could impair the health and well-being of workers, taking into account the possible</p>	<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Health and Safety Policy • Employee handbook if it covers relevant issues • CSR/sustainability policy if it covers relevant issues

<input type="checkbox"/> No 7a. If answered "Yes" to Q7, which of the following areas are covered by this policy? Please tick all that apply. <input type="checkbox"/> Personal protective equipment <input type="checkbox"/> Machine safety <input type="checkbox"/> Emergency preparedness <input type="checkbox"/> Incident and accident management <input type="checkbox"/> Workplace ergonomics <input type="checkbox"/> Handling of chemical and/or biological substances <input type="checkbox"/> Fire protection 7b. If answered "Yes" to Q7, does your company organize training for your employees on this policy? <input type="checkbox"/> Yes Please upload relevant document <input type="checkbox"/> No, but we communicate it through Intranet/ Brochures, etc. Please upload relevant document <input type="checkbox"/> No	impact on the surrounding communities and the general environment. Source: ILO A health and safety policy is a formal document, agreed upon by senior management, that demonstrates a company's commitment to relevant health and safety standards. The policy should outline the company's responsibility to operate in compliance with law and international guidelines. A health and safety should highlight the commitment of management and employees to a healthy and safe workplace with a 'zero accidents' goal. It is the responsibility of management to provide sufficient resources and organisation for health and safety and to do regular risk assessment and reporting in order to ensure continuous improvement of the system. Health and safety training should include the provision of clear instructions to employees on how to ensure they carry out daily tasks safely and without risk of harm to health. Training may cover one or more of the topic areas listed below: > Fire evacuation drills and fire safety training > Training on use of personal protective equipment > Training on company health and safety policy > Work environment inspections > Training on work with hazardous materials > Distribution of educational materials on health and safety procedures > Information campaign for workers on health and safety procedures specific to the site	<ul style="list-style-type: none"> Code of conduct or other business policy if it covers health and safety issues <p style="text-align: center;">-</p> <p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> Training certificates E-learning screenshots Training materials e.g. slide deck presentations Health and safety management system certification Other documents that evidence the topic area <p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> Screenshot of intranet Human resources (HR) or personnel manual Employment contract covering relevant topic Other documents that evidence communication on health and safety policy
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C. HEALTH AND SAFETY	BACKGROUND INFORMATION	SUPPORTED EVIDENCE
8. Does your site have a health and safety management system in place? <input type="checkbox"/> Yes, we have an internationally recognised certified management system	A health and safety management system relates to organised efforts and procedures for identifying workplace hazards, reducing accidents and exposure to harmful	<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> ISO 45001

<p>Please provide the following information:</p> <p>Certification standard: <input type="text"/></p> <p>Awarding body: <input type="text"/></p> <p>Certificate number: <input type="text"/></p> <p>Valid until: <input type="text"/></p> <p>Please upload the relevant document</p> <p><input type="checkbox"/> Yes, we have a nationally recognised certified management system</p> <p>Please provide the following information:</p> <p>Certification standard: <input type="text"/></p> <p>Awarding body: <input type="text"/></p> <p>Certificate number: <input type="text"/></p> <p>Valid until: <input type="text"/></p> <p>Please upload the relevant document</p> <p><input type="checkbox"/> Yes, but the system is uncertified</p> <p>Please upload the relevant document</p> <p><input type="checkbox"/> No</p>	<p>situations and substances. It also includes the training of personnel in accident prevention, accident response, emergency procedures, and use of protective clothing and equipment. A management system can be developed internally or in accordance with national or international standards. Certified management systems provide enhanced assurance to stakeholders that a company is committed to operate business in a sustainable manner and has implemented all the necessary processes. While the SAQ also recognises internally developed management systems, the highest score is achieved if a management system is certified according to internationally recognised standards.</p> <p>Relevant internationally accepted certification standards include:</p> <ul style="list-style-type: none"> > ISO 45001 Occupational health and safety 	<ul style="list-style-type: none"> • Letter from the certification body confirming extension of certification as well as the original certificate <p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Any national certificate standards • Letter from the certification body confirming extension of certification as well as the original certificate <p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Employee Health and Safety Handbook • Health and safety procedure documentation • Health and safety training logs • Hazard prevention and control methods • Emergency prevention, preparedness and response procedure • Health and Safety System manual • Screenshot of internal management system if it shows there is a clear link to a designated management system • Risk assessment • Audit report or audit CAP
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D. ENVIRONMENT	BACKGROUND INFORMATION	SUPPORTED EVIDENCE
<p>9. Does your company have a formal environmental policy, which includes a commitment to legal compliance, continuous measurement and continuous improvements in environmental performance?</p> <p><input type="checkbox"/> Yes</p> <p>Please upload relevant document</p>	<p>An environmental policy shows the company's overall intentions and direction related to its environmental performance. It reflects the company's commitment and is formally expressed by top management. It provides a framework for action, setting environmental objectives which take into account applicable legal and other requirements and the company's environmental impact of</p>	<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Environmental Policy • Employee handbook if it covers relevant issues • CSR/sustainability policy if

<input type="checkbox"/> No	<p>its operations, products and services, with the purpose of decreasing the environmental impact, saving resources and costs. The policy should ensure that there are no detrimental changes to soil, water pollution, harmful noise emissions or excessive water consumption.</p>	<p>it covers relevant issues</p> <ul style="list-style-type: none"> • Code of conduct or other business policy if it covers environmental issues
<p>9a. If answered "Yes" to Q9, which of the following areas are covered by this policy? Please tick all that apply.</p>	<p>The list presented refers to the Global Automotive Sustainability Guiding Principles and is explained in the related Guidance Document.</p>	
<input type="checkbox"/> GHG emissions <input type="checkbox"/> Energy efficiency <input type="checkbox"/> Renewable energy <input type="checkbox"/> Decarbonisation <input type="checkbox"/> Water quality, consumption, management, including water seabed, marine environment, water quantities (flooding or droughts) <input type="checkbox"/> Air quality <input type="checkbox"/> Responsible chemical management <input type="checkbox"/> Sustainable resources management <input type="checkbox"/> Waste, including reduction <input type="checkbox"/> Reuse and recycling	<p>Greenhouse gases trap heat in the atmosphere and contribute to global warming.</p> <p>Energy efficiency refers to the amount of energy productively used given the same amount of energy inputs.</p> <p>Renewable energy refers to energy that comes from natural resources that are not depleted when used. Examples include wind, solar or geothermal energy.</p> <p>Decarbonisation refers to the removal of GHG emissions from a company's value chain.</p> <p>Water quality and consumption includes access to clean water and the conservation for future generations.</p> <p>Water, including seabed, marine environment, water quantities (flooding or droughts) Pollution of freshwater systems and coastal environments. Can be a range of physical and chemical drivers resulting from industrial, agricultural and domestic activities. Physical threat of coastal flooding due to extreme sea levels Various factors that are known to affect water supply and quality, such as the sustainability of current consumption, groundwater depletion, reliance on trans-boundary sources, population growth and the effectiveness of resource governance. (Maplecroft)</p> <p>Air quality is the level of air pollution in the atmosphere.</p> <p>Responsible chemical management takes into account the life cycle of</p>	
<input type="checkbox"/> Animal welfare <input type="checkbox"/> Biodiversity, land use and deforestation <input type="checkbox"/> Soil pollution, soil erosion and land degradation <input type="checkbox"/> Noise emissions <input type="checkbox"/> Vibration <input type="checkbox"/> Other areas (please specify)		

chemicals including handling, storage and disposal.

Sustainable resource management

is the practice of using less to preserve resources.

Waste reduction is the practice of using less resources to minimise waste and preserve resources.

Reuse refers to the practice of using existing materials or products as they are to reduce waste whilst recycling refers turning a product into a raw material that can be used again, often within a completely new product.

Animal welfare refers to the conditions in which an animal lives. An animal is in a good state of welfare if it is healthy, comfortable, wellnourished, safe, able to express innate behavior, and if it is free from unnecessary pain, fear or distress.

Biodiversity, land use, deforestation and soil quality all refer to the maintenance of ecosystems so that flora and fauna are not lost and natural habitats do not suffer irreparable damage. As part of the European Union's Green Deal plans to protect ecosystems and biodiversity, the European Commission has proposed a new law to halt deforestation and minimise the EU's impact on forests worldwide. The [proposed law](#) will require companies that sell commodities linked to deforestation and forest degradation - such a soy, palm oil, wood and beef products (e.g. leather) - to ensure they are 'deforestation free' before placing them on the European market or exporting them from the EU.

Source: EU Commission (Directorate-General for Environment)

Soil pollution, soil erosion and land degradation

Soil pollution is a chemical degradation process that consumes fertile soils, with implications for global food security and human health. (UNEP)

Land degradation manifests in many ways: land abandonment, declining populations of wild species, loss of soil and soil health, rangelands and fresh water, as well as deforestation (UNESCO)

	<p>Soil quality refers to the measure of the condition of soil to do what it needs to do, specifically in relation to enhancing the environment and human health.</p> <p>Noise emissions relate to the release of noise into the environment from various sources that can be grouped in: transportation activities, industrial activities and daily normal activities.</p> <p>Vibration Risk of negative effects on health from the exposure to noise and vibration at work or surroundings. (ILO)</p>	
<p>9b. If answered "Yes" to Q9, does your company organize training for your employees on your environmental policy?</p> <p><input type="checkbox"/> Yes Please upload relevant document</p> <p><input type="checkbox"/> No, but we communicate it through Intranet/ Brochures, etc. Please upload relevant document</p> <p><input type="checkbox"/> No</p>		<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Training certificates • E-learning screenshots • Training materials e.g. slide deck presentations • Environmental management system certification • Other documents that evidence the topic area <p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Screenshot of intranet • Human resources (HR) or personnel manual • Employment contract covering relevant topic • Other documents that evidence that you communicate your environmental policy

D. ENVIRONMENT	BACKGROUND INFORMATION	SUPPORTED EVIDENCE
<p>10. Does your site have an environmental management system in place?</p> <p><input type="checkbox"/> Yes, we have an internationally recognised certified management system Please provide the following information:</p> <p>Certification standard: <input type="text"/></p> <p>Awarding body: <input type="text"/></p>	<p>A management system can be developed internally or in accordance with national or international standards. Environmental audits enable an organisation to assess and demonstrate its compliance to legislation; environmental performance; and the benefits and limitations of its environmental policy. It is a way of measuring the</p>	<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • ISO 14001:2015 • ISO 14064 GHG • PAS2050 Carbon Footprint • PAS2060 Carbon Neutrality

<p>Certificate number: <input style="width: 100%;" type="text"/></p> <p>Valid until: <input style="width: 100%;" type="text"/></p> <p>Please upload the relevant document</p>	<p>extent to which a company lives up to the shared values and objectives it has committed itself to. Environmental audits can be conducted internally or by an external body that issues a certificate. Certified management systems provide enhanced assurance to stakeholders that a company is committed to operate business in a sustainable manner and has implemented all the necessary processes. While the SAQ also recognises internally developed management systems, the highest score is achieved if a management system is certified according to internationally recognised standards.</p> <p>Examples of relevant internationally accepted certification standards include:</p> <ul style="list-style-type: none"> > ISO14001:2015 EMS > ISO14064 GHG > PAS 2060 Carbon neutrality > BS8555 Certification: Implementation of environmental management systems > PAS2050 Carbon footprint > EU Eco-Management and Audit Scheme (EMAS) 	<ul style="list-style-type: none"> • BS8555 Certification: Implementation of environmental management systems • EU Eco-Management and Audit Scheme (EMAS) • Letter from the certification body confirming extension of certification as well as the original certificate <p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Any national certificate standards • Letter from the certification body confirming extension of certification as well as the original certificate
<p><input type="checkbox"/> Yes, we have a nationally recognised certified management system</p> <p>Please provide the following information:</p> <p>Certification standard: <input style="width: 100%;" type="text"/></p> <p>Awarding body: <input style="width: 100%;" type="text"/></p> <p>Certificate number: <input style="width: 100%;" type="text"/></p> <p>Valid until: <input style="width: 100%;" type="text"/></p> <p>Please upload the relevant document</p>	<p><input type="checkbox"/> Yes, but the system is uncertified</p> <p>Please upload the relevant document</p>	<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Employee handbook if it covers relevant issues • Environmental management system manual • Screenshot of internal management system if it shows there is a clear link to a designated management system • Process flow showing relevant procedures • Audit report or audit CAP • Evidence of environmental assessment and improvement
<p><input type="checkbox"/> No</p>		

D. ENVIRONMENT	BACKGROUND INFORMATION	SUPPORTED EVIDENCE
<p>11. Does your site have an energy management system?</p> <p><input type="checkbox"/> Yes, we have an internationally recognised certified management system</p> <p>Please provide the following information:</p> <p>Certification standard: <input style="width: 100%;" type="text"/></p> <p>Awarding body: <input style="width: 100%;" type="text"/></p>	<p>An energy management system is a systematic process for continually improving energy performance and maximising energy savings. A management system can be developed internally or in accordance with national or international standards. Certified management systems provide enhanced assurance to stakeholders that a company is committed to</p>	<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • ISO 50001 • Letter from the certification body confirming extension of certification as well as the original certificate

<p>Certificate number: <input type="text"/></p> <p>Valid until: <input type="text"/></p> <p>Please upload the relevant document</p> <p><input type="checkbox"/> Yes, we have a nationally recognised certified management system</p> <p>Please provide the following information:</p> <p>Certification standard: <input type="text"/></p> <p>Awarding body: <input type="text"/></p> <p>Certificate number: <input type="text"/></p> <p>Valid until: <input type="text"/></p> <p>Please upload the relevant document</p> <p><input type="checkbox"/> Yes, but the system is uncertified</p> <p>Please upload the relevant document</p> <p><input type="checkbox"/> No</p>	<p>operate business in a sustainable manner and has implemented all the necessary processes. While the SAQ also recognises internally developed management systems, the highest score is achieved if a management system is certified according to internationally recognised standards.</p> <p>Relevant internationally accepted certification standard:</p> <ul style="list-style-type: none"> > ISO 50001 - Energy Management 	<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Any national certificate standards • Letter from the certification body confirming extension of certification as well as the original certificate <p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Employee handbook if it covers relevant issues • Energy management system manual • Screenshot of internal management system if it shows there is a clear link to a designated management system • Process flow showing relevant procedures • Carbon Trust Report • Audit report or audit CAP • Evidence of energy assessment and improvement
<p>12. What percentage of electricity used at your site in the last calendar year came from renewable sources?</p> <p><input type="checkbox"/> 91%-100%</p> <p><input type="checkbox"/> 81%-90%</p> <p><input type="checkbox"/> 71%-80%</p> <p><input type="checkbox"/> 61%-70%</p> <p><input type="checkbox"/> 51-60%</p> <p><input type="checkbox"/> 41-50%</p> <p><input type="checkbox"/> 31-40%</p> <p><input type="checkbox"/> 21-30%</p> <p><input type="checkbox"/> 11-20%</p> <p><input type="checkbox"/> 1-10%</p> <p><input type="checkbox"/> Not applicable</p> <p><input type="checkbox"/> Not known</p> <p>Please upload relevant document</p>	<p>Renewable energy sources are inexhaustible energy sources replenished naturally over time. The following energy sources can be classified as renewable:</p> <ul style="list-style-type: none"> > Wind > Solar > Hydro > Biomass > Geothermal > Marine 	<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Invoices of energy consumption and/or certificates • Evidence of green electricity tariffs • Energy contract if it covers renewable energy source • Green power purchase agreement (PPA) • Renewable energy certificate (REC) • Other documents that evidence that your electricity comes from renewable sources

D. ENVIRONMENT	BACKGROUND INFORMATION	SUPPORTED EVIDENCE
<p>13. Does your company set Greenhouse Gas reduction targets?</p> <p><input type="checkbox"/> Yes Please upload relevant document</p> <p><input type="checkbox"/> No</p>	<p>According to the Greenhouse Gas Protocol, a key component of effective Greenhouse Gas (GHG) management is setting a GHG emission reduction target and tracking performance against the target. Emission reduction targets could cover:</p> <ul style="list-style-type: none"> > Scope 1 - Direct company emissions related to burning fossil fuel on-site; > Scope 2 - Indirect company emissions related to the production of purchased electricity, heat or steam; > Scope 3 - Indirect company emissions related to your company's value chain activities, including upstream and downstream emissions. 	<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • A report that includes reduction targets • Screenshot of intranet showing reduction targets • Screenshot of website showing reduction targets • Other documents that evidence your greenhouse gas emission reduction targets
<p>13a. If answered "Yes" to Q13, are the targets Science Based Target initiative (SBTi) approved?</p> <p><input type="checkbox"/> Yes Please provide the International Securities Identification Number (ISIN) associated with your approved SBTi targets</p> <p><input type="checkbox"/> No, but in accordance with other standards (SME Climate Hub, Race to Zero, or equivalent)</p> <p><input type="checkbox"/> No</p>	<p>Companies may set a variety of GHG reduction targets, including:</p> <ul style="list-style-type: none"> > A single target for all of their emissions (total scope 1 + scope 2 + scope 3 emissions) > A single target for their total scope 3 emissions > A combination of targets, for example a target for total scope 1 + 2 + 3 emissions as well as targets for individual scope 3 categories. 	<p>SBTi list of approved reduction targets (external check)</p>
<p>13b. If answered "Yes" to Q13, does your company have emission reduction targets for your upstream supply chain emissions (scope 3)?</p> <p><input type="checkbox"/> Yes</p> <p>Please upload relevant document</p>	<p>For further information, please refer to the GHG Protocol Corporate Value Chain Scope 3 Standard, chapter 9 Setting a GHG Reduction Target and Tracking Emissions Over Time, page 100.</p>	<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • A report that includes scope 3 reduction targets • Screenshot of intranet showing scope 3 reduction targets • Screenshot of website showing scope 3 reduction targets • Other documents that evidence your scope 3 greenhouse gas emission reduction targets

<input type="checkbox"/> No		

D. ENVIRONMENT	BACKGROUND INFORMATION	SUPPORTED EVIDENCE
<p>14. Does your site use any substances with restrictions under any national or international statutory provision in production or operations?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p>14a. If answered "Yes" to Q14, does your site have written procedures to manage substances with restrictions under any regulations?</p> <p><input type="checkbox"/> Yes</p> <p style="text-align: center;">Please upload relevant document(s) – including REACH, RoHS, ELV 2000/53/EC or other written procedures to manage substances with restrictions</p> <p><input type="checkbox"/> No</p> <p>14b. If answered "Yes" to Q14a, which of the following areas are covered by these written procedures? Please tick all that apply.</p> <p><input type="checkbox"/> The manufacture of mercury-added products, the use of mercury and mercury compounds in manufacturing</p>	<p>Restrictions are a tool to protect human health and the environment from unacceptable risks posed by chemicals. Restrictions may limit or ban the manufacture, placing on the market or use of a substance. A restriction applies to any substance on its own, in a mixture or in an article, including those that do not require registration. It can also apply to imports.</p> <p>Examples of hazardous (restrictive) substances include but are not limited to: Chrom6, lead, AZO dyes, DMF, PAHs, Phthalates, PFOS, nickel release. Source: European Chemicals Agency</p> <p>Examples of regulations on restricted substances and chemical handling:</p> <p>REACH (Registration, Evaluation, Authorisation, and Restriction of Chemicals) is a European Union Regulation addressing the production and use of chemical substances, and their potential impact on both human health and the environment. The regulation defines and includes substances, preparations, and articles. Manufacturers and importers are required to gather information on the properties of their chemical substances and to register the information in a central database run by the European Chemicals Agency.</p> <p>RoHS (Restriction of Hazardous Substances) or the Restriction of the Use of Certain Hazardous Substances in Electrical and Electronic Equipment Directive (2011/65/UE) bans the placing on the EU market of new electrical and electronic equipment containing more than the agreed levels of lead, cadmium, mercury and other substances.</p> <p>ELV 2000/53/EC lays down measures which aim at the prevention of waster from vehicles and, in addition, at the reuse, recycling and other forms of</p>	<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Management system manual contents page showing relevant procedures • Safety data sheet • Proof of registration with the European Chemicals Agency (ECHA) • Process flow showing relevant procedures • Restricted substances policy • Material Safety Data Sheet (MSDS) • REACH or RoHS Compliance Certificate • ISO 14001 (if the scope covers restricted substances) • EMAS (if the scope covers restricted substances) • RC 14001 (which includes RCMS) • IECQ HSPM certification/ IECQ specification QC 080000 • SQAS (Safety and Quality Assessment System) <p style="text-align: center;">-</p>

<p>processes and the treatment of mercury waste (ref. to the Minamata convention)</p> <ul style="list-style-type: none"> <input type="checkbox"/> The production and use of Persistent Organic Pollutants (ref. to the Stockholm Convention on Persistent Organic Pollutants) <input type="checkbox"/> The handling, collection, storage and disposal of waste of Persistent Organic Pollutants (ref. to the Stockholm Convention on Persistent Organic Pollutants) <input type="checkbox"/> The export of hazardous waste (ref. to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal) <input type="checkbox"/> The import of hazardous and other wastes (ref. to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal) <input type="checkbox"/> Others, please specify 	<p>recovery of end-of life vehicles and their components so as to reduce the disposal of waste, as well as the improvement in environmental performance of all the economic operators involved in the life cycle of vehicles and especially the operators directly involved in the treatment of end-of life vehicles.</p> <p>The Minamata Convention on Mercury. The production of mercury- added products is permitted under the exceptions of Annex A, under registered exceptions, or if there is an alternative strategy for the product reported to the Conference of Parties by a country (Art. 4(2) lit. a). The use of mercury (compounds) in manufacturing processes is permitted under Annex B or under registered exceptions (Art. 5(2) and Art. 6). The Convention also addresses interim storage of mercury and its disposal once it becomes waste, sites contaminated by mercury as well as health issues. Mercury waste must be treated according to Art. 11(3).</p> <p>The Stockholm Convention on Persistent Organic Pollutants. The Convention requires its parties to take measures to eliminate or reduce the release of POPs into the environment. The production and use are permitted for laboratory-scale research or as reference standard (Art. 3(5)), under the exceptions of Annex I, under the grace period of Art. 4(2) Sentence 1 Regulation (EU) 2019/1021, or under Annex I, part B Regulation (EC) No. 850/2004. The handling, collection, storage, and disposal is permitted under Art. 6.</p> <p>The Basel Convention prohibits the import and export of hazardous waste from and to third party countries and some of the party countries. In addition to the provisions of the convention, Council Directive 91/689/EEC must be taken into account when defining hazardous waste</p>	
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D. ENVIRONMENT	BACKGROUND INFORMATION	SUPPORTED EVIDENCE
15. Does your company have a current CDP score?	CDP uses a scoring methodology to incentivise companies to measure	

<input type="checkbox"/> Yes <input type="checkbox"/> Please upload relevant document	and manage environmental impacts through participation in CDP's climate change, water, forests, and supply chain programs. Each of CDP's questionnaires (Climate change, Water and Forests) has an individual scoring methodology.	The CDP Report should be addressed to the company name (headquarter company name is acceptable). The CDP Report should be up to date (issued in the past 12 months or dated 2021 or 2022)
<input type="checkbox"/> No		
15a. If answered "Yes" to Q15, please specify your CDP score related to Climate Change		-
Score <input type="text"/>		
Year <input type="text"/>		
15b. If answered "Yes" to Q15, please specify your CDP score related to Water		
Score <input type="text"/>		
Year <input type="text"/>		
15c. If answered "Yes" to Q15, please specify your CDP score related to Forests		
Score <input type="text"/>		
Year <input type="text"/>		

E. RESPONSIBLE SUPPLY CHAIN MANAGEMENT	BACKGROUND INFORMATION	SUPPORTED EVIDENCE
<p>16. Does your company have set CSR/Sustainability requirements towards suppliers?</p> <input type="checkbox"/> Yes	<p>CSR/sustainability requirements for suppliers are often set out in either a specific supplier code of conduct document or a company conduct document which applies to both internal employees as well as external business partners, such as suppliers. The objective, through these CSR requirements, should be to promote healthy working conditions, human rights, and environmental responsibility throughout the entire supply chain</p>	<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Supplier Sustainability policy • CSR/Sustainability policies that include reference to supplier adherence • Supplier Code of Conduct which specifically references supplier adherence • General purchasing agreement which applies to suppliers and references sustainability
<p>Please upload relevant document</p> <input type="checkbox"/> No		
16a. If answered "Yes" to Q16, which areas are covered by these CSR/Sustainability requirements? Please tick all that apply.		

<p><u>Human rights and working conditions</u></p> <ul style="list-style-type: none"><input type="checkbox"/> Child labour and young workers<input type="checkbox"/> Wages and benefits<input type="checkbox"/> Working hours<input type="checkbox"/> Modern slavery (i.e. slavery, servitude and forced or compulsory labour and human trafficking)<input type="checkbox"/> Ethical recruiting<input type="checkbox"/> Freedom of association and collective bargaining<input type="checkbox"/> Non-discrimination and harassment<input type="checkbox"/> Women's Rights<input type="checkbox"/> Diversity, Equity, and Inclusion<input type="checkbox"/> Rights of Minorities and Indigenous Peoples<input type="checkbox"/> Land, Forest and Water Rights and Forced Eviction<input type="checkbox"/> Use of Private or Public Security Forces<input type="checkbox"/> Community life <p><u>Health and Safety</u></p> <ul style="list-style-type: none"><input type="checkbox"/> Health and safety		
<p><u>Environment</u></p> <ul style="list-style-type: none"><input type="checkbox"/> GHG emissions<input type="checkbox"/> Energy efficiency<input type="checkbox"/> Renewable energy<input type="checkbox"/> Decarbonisation<input type="checkbox"/> Water quality, consumption, management, including water seabed, marine environment, water quantities (flooding or droughts)<input type="checkbox"/> Air quality<input type="checkbox"/> Responsible chemical management<input type="checkbox"/> Sustainable resources management<input type="checkbox"/> Waste, including reduction<input type="checkbox"/> Reuse and recycling<input type="checkbox"/> Animal welfare<input type="checkbox"/> Biodiversity, land use and deforestation<input type="checkbox"/> Soil pollution, soil erosion and land degradation<input type="checkbox"/> Noise emissions<input type="checkbox"/> Vibration<input type="checkbox"/> Other areas (please specify)		

<p><u>Upstream supplier management</u></p> <p><input type="checkbox"/> Definition and implementation of similar standards towards own tier-1 suppliers</p> <p><input type="checkbox"/> Binding requirements towards Tier-1 suppliers to pass on standards along the supply chain</p>		

E. RESPONSIBLE SUPPLY CHAIN MANAGEMENT	BACKGROUND INFORMATION	SUPPORTED EVIDENCE
<p>16b. If answered "Yes" to Q16, does your company use any of the following channels to communicate its Supplier CSR/Sustainability Requirements to your suppliers? Please tick all that apply.</p> <p><input type="checkbox"/> Included in Terms and Conditions Please upload relevant document</p> <p><input type="checkbox"/> Supplier training Please upload relevant document</p> <p><input type="checkbox"/> Supplier Code of Conduct/ Supplier Sustainability Policy Please upload relevant document</p> <p><input type="checkbox"/> Company website/ Supplier portal Please upload relevant document</p>		<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Supplier terms and conditions which references sustainability • General purchasing agreement which applies to suppliers and references sustainability <p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • E-learning screenshots • Training materials e.g. slide deck presentations • Other documents that evidence you plan or deliver training related to the topic area <p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Supplier sustainability policy • CSR/Sustainability policies that include reference to supplier adherence • Supplier code of conduct which specifically references supplier adherence <p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Screenshot of supplier portal which references sustainability • Screenshot of website which reference supplier sustainability requirements

<p><input type="checkbox"/> None</p> <p>16c. Which processes does your company have in place to review if suppliers fulfil your requirements? Please tick all that apply.</p> <p><input type="checkbox"/> 3rd party audits conducted by an accredited certification body</p> <p>Please upload relevant document</p> <p><input type="checkbox"/> 2nd party audits conducted by your company</p> <p>Please upload relevant document</p> <p><input type="checkbox"/></p> <p>Sustainability-assessment questionnaire (SAQ)</p> <p><input type="checkbox"/> None</p>	<p>If a company sets requirements for their suppliers, they must have provisions to monitor the implementation of these requirements within the business operations of their supplier. Supplier monitoring provides information and identifies areas for collaborative positive improvements. This can be achieved through:</p> <ul style="list-style-type: none"> • A 3rd party audit is an external audit performed by independent organisations such as registrars (certification bodies) or regulators. • A 2nd party audit is an external audit performed by customers or by others on their behalf. It can also be done by regulators or any external party that has a formal interest in an organisation. • A sustainability-assessment questionnaire (SAQ) may be used to assess CSR and Sustainability activities of a supply chain, and identify potential improvements. 	<p></p> <p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Third party audit report • Third party certificates • Letter from third party audit company referring to the audits • Other documents that evidence you plan or undertake third party audits <p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Second party audit report • Other documents that evidences your company plans to or undertakes audits of your suppliers <p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • A self-assessment questionnaire • Details of online monitoring system or documentation which refers to a supplier self-assessment process • NQC customer letter
<p>17. Does your company perform sustainability risk assessments as part of the due diligence activities?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p>17a. If answered "yes" to Q17, what is the scope of the risk assessment? Please tick all that apply.</p> <p><input type="checkbox"/> Own business area</p> <p><input type="checkbox"/> Direct suppliers (Tier 1)</p> <p><input type="checkbox"/> Indirect suppliers (Tier n)</p> <p>17b. If answered "yes" to Q17, how often does your company conduct risk assessment?</p> <p><input type="checkbox"/> Yearly</p> <p><input type="checkbox"/> Every 2 years</p> <p><input type="checkbox"/> Ad hoc when we expect the risk situation to change significantly</p>		<p>-</p>

<input type="checkbox"/> Ad hoc when we know that there might be a violation, e.g. from a complaint		
<input type="checkbox"/> Other		

F. RESPONSIBLE SOURCING OF RAW MATERIALS*	BACKGROUND INFORMATION	SUPPORTED EVIDENCE
<p>18. Which material in scope of EUBR is contained in your products/in scope of your operations? Please Tick all that apply.</p> <p><input type="checkbox"/> Cobalt</p> <p><input type="checkbox"/> Graphite (natural)</p> <p><input type="checkbox"/> Lithium</p> <p><input type="checkbox"/> Nickel</p>		
<p>18a. Does your company have a policy on the responsible sourcing of cobalt, lithium, natural graphite and/or nickel?</p> <p><input type="checkbox"/> Yes Please upload relevant document</p> <p><input type="checkbox"/> No</p>	<p>A responsible raw materials policy is a document showing a company's commitment, agreed upon by senior management, to the sustainable and ethical procurement of raw materials, covering social and environmental risk categories listed in Annex X.2, international instruments listed in Annex X.3 and internationally recognised due diligence systems referenced in Annex X.4 of the EU-Batt-R. Raw materials are primary commodities that are used to manufacture products. Companies that provide products containing raw materials are expected to conduct due diligence to understand the source of the raw materials used in their products and manage risks.</p> <p>Companies are expected to ensure not to contribute to human rights abuses, bribery and ethics violations, or negatively impact the environment.</p> <p>For more information on priority materials, producer countries, and associated environmental, social, and governance issues please refer to the Raw Materials Outlook and the Material Change report.</p>	<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> Policy that covers responsible sourcing of raw materials e.g. Responsible Sourcing/ Procurement Policy Battery raw materials Statement/Policy Supplier Code of Conduct that covers responsible sourcing of raw materials CSR/Sustainability Policy that covers responsible sourcing of raw materials Agreement/purchasing documents covering responsible raw materials sourcing
<p>18b. Does your company participate in raw material specific initiative(s)?</p> <p><input type="checkbox"/> Yes Please upload relevant document</p>		<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> Documentation providing membership status Other documents that evidences your company is part of a raw materials initiative

<p><input type="checkbox"/> No</p> <p>18c. If cobalt is in the scope of your activities does your company have a company-scope EMRT (Extended Minerals Reporting Template)?</p> <p><input type="checkbox"/> Yes Please upload EMRT template, using the latest version from the RMI website</p> <p><input type="checkbox"/> No Please complete and upload EMRT template, using the latest version from the RMI website</p>	<p>The Extended Minerals Reporting Template (EMRT) is a free, standardized reporting template developed by the Responsible Minerals Initiative (RMI) to identify pinch points and collect due diligence information in the cobalt and mica supply chains.</p>	
<p>19. Does your company operate a system of controls and transparency to identify upstream actors in the supply chain?</p> <p><input type="checkbox"/> Yes Please upload relevant document</p> <p><input type="checkbox"/> No</p>	<p>System of control: A process of oversight concerning the supply chain incorporates a chain of custody or traceability mechanism to identify actors upstream to ensure a transparent supply chain (Art. 49 EU-Batt-R). (Levin Sources Report)</p>	<p><u>Currently accepted evidence:</u></p> <ul style="list-style-type: none"> • Management system that covers responsible sourcing of raw materials • Raw materials sourcing manual outlining processes and procedures • Screenshot of internal management system • Raw materials sourcing report • Evidence of supply chain mapping initiative or report <p><u>New accepted evidence:</u></p> <ul style="list-style-type: none"> • RMI Due Diligence Audit Certificate (required score tbd)* <p>*To be confirmed after revision of the audit standard</p>
<p>19a. If answered “Yes” to Q18, which processes or tools do you use?</p> <p>Supply chain mapping</p> <p><input type="checkbox"/> With independent 3rd party verification of collected data</p> <p><input type="checkbox"/> With internal and/or external validation of collected data</p> <p><input type="checkbox"/> Without any validation of verification of collected data</p> <p>Chain of custody</p> <p><input type="checkbox"/> With independent 3rd party verification of collected data</p>	<ul style="list-style-type: none"> • Supply chain mapping in the context of due diligence is the process of identifying all involved actors and collecting supplier-specific information that is relevant for ESG risk analysis. <p>Documentation requirements under the system of control and traceability partly overlap with the OECD Minerals Guidance, including disclosure requirements on traceability, suppliers, and market transactions records. The EU-Batt-R specifies that the documentation</p>	<p>User manual</p> <p>For 3rd party verification: 3rd or 2nd party (mapping) audit results looking after actual supply chain relationships by reviewing shipping documents, etc.</p>

<input type="checkbox"/>	With internal and/or external validation of collected data	required under the systems of controls should include a raw material description (trade name and type), name and address of the supplier of the raw material, quantities of the raw material in the batteries, third party verification reports of the economic operator and, where available, of suppliers, and traceability information from the extraction tier to the immediate supplier of the economic operator including country of origin and subsequent market transactions. (Levin Sources)	
<input type="checkbox"/>	Without any validation of verification of collected data		
Traceability system		Usually, documentation that records the sequence of custody, control, transfer, analysis, and disposition of materials, including physical or electronic evidence, is required for proper supply chain mapping.	
<input type="checkbox"/>	With independent 3 rd party verification of collected data		
<input type="checkbox"/>	With internal and/or external validation of collected data		
<input type="checkbox"/>	Without any validation of verification of collected data		
<input type="checkbox"/>	Other, please specify:		

*Not applicable to mine sites

G. ADDITIONAL INFORMATION
20. Please use the space below to provide additional information (e.g. comments regarding policy, timing for certification, etc.).

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ANNEX 2 - SAQ mapping against the EU-Batt-R DD requirements

Legend	Requirement covered in SAQ 5.0	Requirement partially covered in SAQ 5.0	Requirement not covered in SAQ 5.0
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SECTION	DUE DILIGENCE REQUIREMENT	Covered in SAQ 5.0
1. Environment, climate and human health, considering direct, induced, indirect and cumulative effects	Air, including air pollution such as greenhouse gas emissions	Q10a, 11
	Water, including seabed and marine environment, and including water pollution, water use, water quantities (flooding or droughts) and access to water	Q10a, 11
	Soil, including soil pollution, soil erosion, land use and land degradation	Q10a, 11
	Biodiversity, including damage to habitats, wildlife, flora and ecosystems, including ecosystem services	Q10a, 11
	Hazardous substances	Q10a, 11, 16, 16a, 16b
	Noise and vibration	Q10a, 11
	Energy use	Q10a, 11, 12, 13, 14
	Waste and residues	Q10a, 11
	Plant safety	Q7, 7a, 7b and 8
2. Human rights, labour rights and industrial relations, including	Occupational health and safety	Q7, 7a, 7b and 8
	Child labour	Q5, 5a and 6
	Forced labour	Q5, 5a and 6
	Discrimination	Q5, 5a and 6
	Trade union freedoms	Q5, 5a and 6
3. Community life, including that of indigenous peoples		Q5, 5a and 6

Reverse gap-analysis² of the SAQ 5.0 against the EU-Batt-R DD requirements

Legend	Required information to fulfil the due diligence obligations in relation to the risk categories or transparency	Information that could be useful to conduct risk assessments in relation to the risk categories or transparency	Information does not seem to be necessary to fulfil the due diligence obligations in relation to the risk categories or transparency
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QUESTIONS FROM THE SAQ 5.0	DD REQUIREMENTS IN EU-BATT-R
1. Has your company appointed senior management representation for environmental, social, ethics or human rights?	Annex X (2) (a), (b), (c)
2. Does your company publish a Corporate Social Responsibility (CSR)/Sustainability Report?	
3. Does your company have a Code of Conduct?	
4. Does your company have a grievance mechanism or documented complaints procedure established at this location?	Annex X (2) (b), (c)
5. Does your company have a formal policy covering working conditions and human rights?	Article 49, Annex X (2) (b), (c)
6. Does your site have a management system in place to manage the human rights and working conditions issues?	
7. Does your company have a formal written health and safety policy, which complies with local law, industry requirements and international standards?	Article 49, Annex X (2) (b) (i)
8. Does your site have a health and safety management system in place?	
9. Does your company have a formal policy covering business ethics?	Business ethics not covered by EU-Batt-R
10. Does your company have a formal environmental policy, which includes a commitment to legal compliance, continuous measurement and continuous improvements in environmental performance?	Article 49, Annex X (2) (a) (i)-(vi), (viii), (ix)
11. Does your site have an environmental management system in place?	
12. Does your site have an energy management system?	Annex X (2) (a) (viii)
13. What percentage of electricity used at your site in the last calendar year came from renewable sources?	Annex X (2) (a) (viii)
14. What percentage of heating/cooling used at your site in the last calendar year came from renewable sources?	
15. Does your company set Greenhouse Gas reduction targets?	Annex X (2) (a) (i)
16. Does your site use any substances with restrictions under any national or international statutory provision in production or operations?	Annex X (2) (a) (v)
17. Does your company have a current CDP score?	Annex X (2) (a) (ii), (iv)

² The aim of the reverse analysis was to find out which existing SAQ 5.0 questions are necessary to gain information from suppliers to fulfil the due diligence obligations related to the risk categories and the required transparency of the EUBR as an economic operator.

UNDER EMBARGO - The Battery SAQ is not published yet - Do not share

18. Does your company have set CSR/Sustainability requirements towards suppliers?	Article 49, Annex X (2) (a), (b), (c)
19. Does your company perform sustainability risk assessment as part of the due diligence activities?	Article 50, Annex X (2) (a), (b), (c)
20a. Does your company have a policy on the responsible sourcing of these raw materials*? 20b. Does your company participate in raw material specific initiative(s)? 20d. If cobalt and/or mica, does your company have a company-scope EMRT (Extended Minerals Reporting Template)	Annex X (1) (a), (b), (c), (d), (e)
21. Does your company have a responsible sourcing raw materials management system or undertake supply chain mapping?	Article 49 (1) (d)