

Seite 1/13	Revision 01	Supply Chain Due Diligence Questionnaire	 
Datum 01.01.24	Verfasser Heine		

☐ Audit ☐ Self-Assessment					
Company name:					
Site name:					
Site address:				Country:	
Products/Activities at site, for example. Anise, basil, cumin or others					
Site description: (Include size, location, and age of site. Also, include structure and number of buildings)					
Site contact and job title					
Audit Pillars:	☐ Labor Standards	☐ Health and Safety	☐ Business	☐ Environment	
Date of Audit/Assessm.					
Auditor/Person in Charge					

Site function	☐ Agent ☐ Supplier Homeworker ☐ Sub-contractor ☐ Grower ☐ Packer ☐ Processer ☐ Service Provider ☐ Exporter
Months of peak season	
Main products	
Main processes (i.e. peeling, drying, sorting.)	
What form of worker representation is there on site?	☐ Union ☐ Worker Committee ☐ Other ☐ None
Is there any night production work at the site?	☐ Yes ☐ No
Are there any on site provided worker accommodation buildings	☐ Yes ☐ No Please give details:
Are there any off site provided worker accommodation buildings	☐ Yes ☐ No Please give details:
Were all site provided accommodation buildings included in this audit	☐ Yes ☐ No Please give details:

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Nationalities Structure		
Nationality of Management		
Please list the nationalities of an workers, with the three most common nationalities listed first.	Nationality:	approx%:
Was this list completed during peak season?	☐ Yes ☐ No	
Worker remuneration	Workers on piece rate: in %	
	Paid hourly:	
	Salaried:	
Payment cycle	Paid daily:	
	Paid weekly:	
	Paid monthly:	
	Other:	
	Details for other:	

Audit attendance	Management	Worker Representatives	
	Senior management	Worker Committee representatives	Union representatives
A: Present at the opening meeting?			
B: Present at the audit?			
C: Present at the closing meeting?			
<i>Reason for absents atl the opening meeting</i>			
<i>Reason for absence during the audit</i>			

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Summary of Findings

Issue	Area of Non-Conformity		Findings (summarize in a few words)
	Own findings	Local law	
Workers Safety			
Freely Chosen Employment			
Freedom of Association			
Child Labor			
Living Wages and Benefits			
Working Hours			
Discrimination			
Regular Employment			
Sub-Contracting and Homeworking			
Harsh or Inhumane treatment			
Environment			
Business Ethics			

Local Law Issues

Issue	Description
	<u>Workers Health and Safety</u>
	<u>Human Rights</u>
	<u>Environment:</u>

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	Business Ethics
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Workers Safety

Does the business have a designated person responsible for implementing standards concerning Workers Safety?	☐ Yes ☐ No Please give details:
Is Company providing Safety Equipment free of charge for the workers?	☐ Yes ☐ No Please give details:
Measuring Working Place Impact	
Are accidents recorded?	☐ Yes ☐ No

Annual Number of work-related accidents and injuries per 100 workers ((Number of work related accidents and injuries • 100) / Number of total workers)	Last <i>year</i>	%
	This year	%
% of workers that work on average more than 48 standard hours/ week in the last 6 / 12 months	6 months	%
	12 months	%
% of workers that work on average more than 60 total hours / week in the last 6 / 12 months	6 month	0%
	12-month	0%

Does the site have any internationally recognized system certification e.g. ISO 9000, 14000, OHSAS 18000, SA8000 (or other social audits)?	☐ Yes ☐ No Details:
Is there a Human Resources manager/department?	☐ Yes ☐ No Mr./ M r s HR manager

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Does the facility have general and occupational Health & Safety policies and procedures that are fit for purpose and are these communicated to workers?	☐ Yes ☐ Details:
Are the policies included in workers' manuals?	☐ Yes ☐ No

Are visitors to the site informed on H&S and provided with personal protective equipment?	☐ Yes ☐ No details:
Is a medical room or medical facility provided for workers?	☐ Yes ☐ No
Is there a doctor or nurse on site or there is easy access to first aider / trained medical aid?	☐ Yes ☐ No
Are H&S Risk assessments are conducted (including evaluating the arrangements for workers doing overtime e.g., driving after a long shift) and are there controls to reduce identified risk?	☐ Yes ☐ No Details:

Freely chosen Employment

Is there any evidence of retention of original documents, e.g. passports/ID. (If yes, please give details and category of workers affected)	☐ Yes ☐ No Please give details:
Is there evidence of a loan scheme in operation (if yes, please give details and category of workers affected)	☐ Yes ☐ No Please give details:
Is there evidence of retention of wages / Deposits (If yes, please give details and category of workers affected)	☐ Yes ☐ No Please give details:
Are there any restrictions on workers' freedom to terminate employment?	☐ Yes ☐ No Please give details:

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Is there evidence of any restrictions on workers' freedoms to leave the site at the end of the work day?	☐ Yes ☐ No details:
Does the site understand the risks of forced / trafficked bonded labor in its supply chain	☐ Yes ☐ No ☐ Not Applicable Details:
Is the site taking any stepsteking to reduce the risk of forced/ trafficked labor?	☐ Yes ☐ Details:

Freedom of Association and Right to Collective Bargaining

What form of worker representation/union is there on site? (Please add the name of the union or committee in the textbox)	☐ Union ☐ Worker Committee ☐ Other ☐ None
Is it a legal requirement to have a union?	☐ Yes ☐ No
Is it a legal requirement to have a worker's committee?	☐ Yes ☐ No
Is there <i>any</i> other form of effective worker/management communication channel?	☐ Yes ☐ No Please give details:
Is there evidence of free elections?	☐ Yes ☐ No
Does the supplier provide adequate facilities to allow the Union or committee to conduct related business?	☐ Yes ☐ No Please give details:
Name of union and union representative, if applicable:	
Is there evidence of free elections?	☐ Yes ☐ No ☐ Not Applicable
If there is no union, is there a parallel means of consultation with workers e.g., worker committees?	
Is there evidence of free elections?	☐ Yes ☐ No ☐ Not Applicable

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Lowest actual wages found: Note: full time employees and please state hour /week/ month etc.	
What deductions are required by law e.g. social insurance? Please state all types:	Yes, social insurance. income tax.
Have these deductions been made?	☐ Yes ☐ No
Please list all deductions that have been made.	
Please list all deductions that have not been made.	
Were appropriate records available to verify hours of work and wages?	☐ Yes ☐ No
Are workers paid in a timely manner in line with local law?	☐ Yes ☐ No
Is there evidence that equal rates are being paid for equal work?	☐ Yes ☐ No Details:
How are workers paid, Working Hours are	☐ Cash ☐ Cheque ☐ Bank Transfer ☐ Other

Working hours

Are standard/contracted working hours defined in all contracts/employment agreements? (If no, please give details including % and which type of workers do NOT have standard hours defined in contracts/employment agreements.)	☐ Yes ☐ No
Do any standard/contracted working hours defined in contracts/payment agreements exceed 48 hours per week? (If yes, please detail hours, %, types of workers affected and frequency.)	☐ Yes ☐ No
Are workers provided with at least 1 day off in every 7-day-period, or 2 in 14-day-period.	☐ 1/7 days ☐ 2/14 days ☐ None (if none please explain)
Is this allowed by local law?	☐ Yes ☐ No
Maximum number of days worked without a day off (in sample):	6
Standard/Contracted Hours worked	
Were standard working hours over 48 hours per week found? (If yes, % of workers & frequency)	☐ Yes ☐ No % of workers: null% Frequency:

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overtime hours worked	
Actual overtime hours worked in sample (State per day/week/month)	8 hours per week. 32 hours per month
Combined hours (standard or contracted + overtime hours = total) over 60 hours/week found?	☐ Yes ☐ No Details: .
Is overtime voluntary?	☐ Yes ☐ No ☐ Conflicting Information Please give details:
Overtime premium	
Is overtime paid at a premium?	☐ Yes ☐ No

Discrimination

Gender breakdown of Management+ Supervisors (Include as one combined group)	Male %	Female: %
Number of women who are in skilled or technical roles (e.g. where specific qualifications are needed i.e. machine engineer/ laboratory analyst)		
Is there any evidence of discrimination based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation?		

Regular Employment

Responsible Recruitment	
All Workers	
Did workers' pay any fees, taxes, deposits or bonds for the purpose of recruitment? (If yes, please describe details and specific categories of workers affected)	☐ Yes ☐ No
Migrant Workers (worker temporarily moving to another region for employment)	
Type of work undertaken by migrant workers:	Please give details:
Please give details about recruitment agencies for migrant workers:	
Are any migrant workers in skilled, technical or management roles? (This should include all migrant workers including permanent workers, temporary and/or seasonal workers)	☐ Yes ☐ No
Non-employee workers	

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Recruitment Fees	
Are there any fees?	☐ Yes ☐ No
Agency Workers (if applicable) (Workers sourced from a local agent who are not directly paid by the site, but paid by the agency. Usually, agencies are paid by the site and the wages of workers are paid by the agency.)	
Number of agencies used (average):	
Please provide the names of agencies if applicable	
Is there a legal contract agreement with all agencies?	☐ Yes ☐ No Details:
Does the site have a system for checking labor standards of agencies?	☐ Yes ☐ No Details:
Contractors (Contractors in this context are generally individuals who supply several workers to a site. Usually, the contractors are paid by the site and the wages of the workers are paid by the contractor. Common terms include, gang bosses, labor provider.)	
Any contractors on site?	☐ Yes ☐ No Please give details:
Do all contractor workers understand their terms of employment?	☐ Yes ☐ No Details:

Sub-Contracting

Summary of sub-contracting - If applicable	
Is there any sub-contracting at this site?	☐ Yes ☐ No
Summary of homeworking - If applicable	
Is homeworking used at this site?	☐ Yes ☐ No

Harish or Inhumane Treatment

Are there published, anonymous and/or open channels available for reporting any violations of Labor standards and H&S or any other grievances to a 3rd party?	☐ Yes ☐ No Please give details:
If yes, are workers aware of these channels and have access? Please give details.	

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Land Rights			
Does the site have all required land rights licenses and permissions as per requirements of local law		☐ Yes ☐ No details	
If yes, what type of mechanism is used e.g. hotline, whistle blowing mechanism comment etc. Please give details.			
Which of the following groups is there a grievance mechanism in place for?		☐ Worker ☐ Communities ☐ Suppliers ☐ Other	
Please provide grievance mechanism details			

Business Ethics

Does the site have a written procedures specific to land rights.	☐ Yes ☐ No Details:
Is there evidence that facility/site compensated the owner/lessor for the land prior to the facility being built or expanded?	☐ Yes ☐ No Details:
Is there <i>any</i> evidence of illegal appropriation of land for facility building or expansion of footprint?	☐ Yes ☐ No Details:
Are there any open disputes?	☐ Yes ☐ No Details:
Does the site encourage its business partners (i.e. suppliers) to provide individuals and communities with access to effective grievance mechanisms (e.g. helplines <i>or</i> whistleblowing mechanism)	☐ Yes ☐ No Details:
Is there a published and transparent disciplinary procedure?	☐ Yes ☐ No Details:

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If yes, are workers aware of these the disciplinary procedure?	☐ Yes ☐ No Details:
Does the disciplinary procedure allow for deductions from wages (fines) for disciplinary purposes (see wages section)?	☐ Yes ☐ No Details:
Does the business have a designated person responsible for implementing standards concerning Human Rights?	☐ Yes ☐ No Details:
Does the business have a transparent system in place for confidentially reporting and dealing with human rights impacts without fear of reprisals towards the reporter?	☐ Yes ☐ No Details:
Does the business demonstrate effective data privacy procedures for workers' information. ?	☐ Yes ☐ No Details:

Environment

Does the site meet its legal obligations on environmental requirements including required permits for use and disposal of natural resources?	☐ Yes ☐ No Details:
Does the site meet its customer requirements on environmental standards, including the use of banned chemicals?	☐ Yes ☐ No Details:
Which natural resources (wood, minerals, water.) are consumed for production	Details:
Is water discharged into the public sewage system?	☐ Yes ☐ No Please give details:

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Are banned chemicals used? (if yes describe how the waste is disposed of)	☐ Yes ☐ No Details:
Are chimneys equipped with filters?	☐ Yes ☐ No
How is the waste disposed of?	Details:

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