



Compliance and Sustainability Questionnaire

Name: Supplier Compliance Questionnaire EN

Date: 31.03.2025

Issued by: Livio Beffa, Marie Gstoettner

Reference: V 2.0

1.0 Organizational requirements and management responsibility					
1.1	Do you have a Code of Conduct for your company in place? If so, please provide a copy.	Y/N	Document upload		
1.2	Do you have one or more individuals appointed as compliance officers (management representatives assigned responsibility for assuring compliance with laws, regulations and codes)? If so, please provide the name of the compliance contact person responsible for implementation of the ANDRITZ Supplier Code of Conduct in your organization.	Y/N	Free text		
1.3	Do you provide training sessions for your employees (incl. temporary contract workers) on compliance topics?	Y/N			
1.4	How many of your employees have received compliance training?	> 95%	>75%	>50%	<50%
1.5	Do you have audit procedures in place to monitor the effectiveness of your compliance measures? If so, please describe these procedures in brief.	Y/N	Free text		
1.6	Do you have procedures in place to implement timely corrective actions for deficiencies identified in internal or external audits?	Y/N			
1.7	Do you have a Sustainability report or non-financial report? If yes, please upload.	Y/N	Document upload		
1.8	Do you perform a company risk assessment and risk management, covering environmental, social and governance risks, including human rights and environment risk assessments in your own business area?	Y/N			



2.0 S - Social				
2.1	Do you maintain a personnel file on every employee?	Y/N		
2.2	Where required by Law, are your employees provided an employment contract in a language that they understand	Y/N		
2.3	Do you have policies that prohibit forced labor and child labor, human trafficking, modern slavery or other human rights abuses? If so, please provide a copy.	Y/N	Document upload	
2.4	Do you have a management system in place or are you developing one to assess labor, health, and safety risks?	Y/N		
2.5	Do you have up-to-date SA8000, ETI or other recognized certifications for workplace management? If so, please provide a copy under Certificates.	Y/N		
2.6	Are labor, health, and safety policies, practices, and expectations communicated to all employees and suppliers in local or appropriate languages?	Y/N		
2.7	Do you have up-to-date certifications (e.g., ISO 45001, ISO 26000, ANSI Z10, CSA Z1000, BS 18004 or OSHA VPP certification for health and safety) or ESG certifications, awards or ESG association memberships? If so, please provide a copy under Certificates.	Y/N		
2.8	Do you have procedures in place to ensure that appropriate machinery is well maintained and equipped with the necessary safety devices?	Y/N		
2.9	Do you have a written emergency response plan and fire evacuation procedure?	Y/N		



2.10	Are all your employees trained on relevant health and safety matters, such as personal protection equipment, machine safeguarding, hazardous materials handling, emergency management, etc.?	Y/N			
2.11	Has your facility has operated without any fatal injuries over the past ... years?	since	<2 years, 2 years, 3 years, > 3 years		
2.12	Are workers free to resign from their employment at any time without penalty provided that reasonable notice is given?	Y/N			
2.13	Are workers free to leave the facility-during non-working hours and at the end of their shift?	Y/N			
2.14	Do you employ child labor (workers younger than 15 years of age)?	Y/N			
2.15	Are young workers (above the legal minimum age, but under the age of 18) requiring protective restrictions employed in accordance with the law?	Y/N			
2.16	Do you have effective procedures for verifying an employee's age? Please explain.	Y/N	Free text		
2.17	Do you have written personnel policies and procedures in place for hiring, salary, benefits, termination, and/or retirement practices to prevent discrimination on the basis of age, disability, gender, nationality, race, color, religion, social or ethnic origin, sexual orientation, health condition, political opinion, etc.? If yes, please describe and/or provide a copy.	Y/N	Document upload		
2.18	Are your employees free to join or form trade unions or workers' organizations of their own choosing and to bargain collectively if this is permitted by law?	Y/N			
2.19	Do you have a formal, written policy that clearly states a commitment to prevent harassment and abuse in the workplace?	Y/N	Document upload		
2.20	Do you have procedures in place to ensure the workplace is free of physical abuse, corporal punishment, physical contact with the intent to injure or intimidate, and disciplinary measures that cause physical discomfort?	Y/N			



2.21	Do you have procedures in place to ensure all employees are paid at least the legal minimum wage for standard working hours?	Y/N			
2.22	Do you have procedures in place to ensure all employees are given the vacation and leave to which they are legally entitled?	Y/N			
2.23	Do you have procedures in place to ensure that all overtime performed at your facility is voluntary?	Y/N			
2.24	Do you have procedures in place to ensure that the workplace is free of forced labor and child labor, human trafficking, modern slavery or other human rights abuses?	Y/N			
2.25	Do you have policies and/or procedures in place in order to safeguard that harmful soil changes, water and air pollution, noise emissions as well as excessive water consumption shall be refrained from if this harms the health of persons, denies persons access to safe drinking water, impedes or destroys access to sanitary facilities or if this significantly impairs the natural basis for the production of food. If yes, please describe and/or provide a copy.	Y/N	Document upload + Free Text		
2.26	Do you have policies and/or procedures in place to ensure that land, forests or waters, the use of which secures the livelihood of persons, are not taken or compulsorily cleared in contravention of local law. If yes, please describe and/or provide a copy.	Y/N	Document upload + Free Text		
2.27	Do you have policies and/or procedures in place to ensure that private/public security forces employed, respect internationally recognized human rights. If yes, please describe and/or provide a copy.	Y/N	Document upload + Free Text		
2.28	Do you require ESG information when on-boarding new suppliers? Do you have any ESG or sustainability initiatives that involve at least your Tier 1 or direct suppliers?	Y/N			
3.0	E - Environment				



3.1	Do you have a management system in place to assess environmental risks associated with production and to ensure that measures for protection of the environment are implemented?	Y/N			
3.2	Does your company follow applicable environmental laws and regulations? (such as the regulations outlined in the Minamata regulation, the Stockholm convention, the Basel convention, or other comparable regulations)	Y/N			
3.3	Do you have up-to-date ISO or ESG certifications (e.g., ISO 14001, ISO 50001 or EMAS certifications), sustainability awards or ESG association memberships (e.g., UN Global Compact)? If so, please provide a copy under Certificates.	Y/N			
3.4	Do you have a policy statement and/or management system that addresses conflict minerals such as tin, tantalum, tungsten or gold? Please describe it or upload the relevant document.	Y/N	Document upload + Free Text		
3.5	Are environmental policies, practices, and expectations communicated to all employees and suppliers in local or appropriate languages?	Y/N			
3.6	Do you monitor and track energy consumption?	Y/N			
3.7	Do you have a program and /or procedures to reduce the use of energy?	Y/N			
3.8	Do you have a program in place to reduce the environmental impact of greenhouse gases?	Y/N			
3.9	Do you have a program, goals and targets to reduce greenhouse gas emissions? If yes, please provide details on your emission reduction plan for Scope 1, 2 and 3	Y/N	Document upload		
3.10	Do you have a system in place to manage air emissions?	Y/N			
3.11	Do you have pollution prevention devices on chimneys, vents, and extraction systems?	Y/N			



3.12	Do you have a program and/or procedures to reduce water use or reuse/recycle water?	Y/N			
3.13	Does your facility treat wastewater prior to off-site discharge?	Y/N			
3.14	Do you have a program and/or procedures to reduce or eliminate pollution and waste in operations?	Y/N			
3.15	Do you have a program and/or procedures to manage and dispose (incl. import & export) of hazardous waste, wastewater, solid waste, and airborne emissions? (included the requirements as outlined in the Basel convention - or other comparable regulations)	Y/N			
3.16	Do you have established environmental targets and objectives relating to the above mentioned items to improve environmental performance? If so, please provide them.	Y/N	Document upload		
3.17	Do you check whether substances stored, used, treated, produced or handled by you are not prohibited or restricted by national or international laws or protocols (such as mercury, mercury-added products, mercury compounds and mercury waste, regulated in the Minamata agreement and/or persistent organic pollutants, as outlined in the Stockholm convention or other applicable laws or regulations; substances that deplete the ozone layer, hazardous substances in electrical and electronic equipment, or substances listed in the EU REACH and REACH-like regulations)?	Y/N			
3.18	Do you maintain up-to-date material safety data sheets for all hazardous substances used on-site (such as mercury and/or persistent organic pollutants and/or substances of concern and substances of very high concern)?	Y/N			
3.19	Do you have targets and programs in place to reduce overall sustainability impacts by managing transportation logistics (e.g. prioritizing low-impact transportation modes)?	Y/N			
3.20	Do you report your greenhouse gas emissions (on corporate level) regarding Scope 1 (direct emissions), 2 (indirect emissions from purchased electricity, steam, heat or cooling) and 3 (indirect emissions from purchased electricity, steam, heat or cooling). If yes, please provide the information.	Y/N	Document upload		



3.21	Are you able to calculate and provide greenhouse gas emissions on product / service level?	Y/N			
3.22	Do you have a program and/or procedures to improve biodiversity?	Y/N			
3.23	Do you have a program and/or procedures to improve resource efficiency?	Y/N			
3.24	Do your products, manufactured or distributed, contain any substance listed in the Annex XIV (Authorization list), Annex XVII (Restrictions) or in the Candidate List of SVHC (in accordance with Article 59) of the REACH Regulation ((EC) No. 1907/2006)? If yes, please upload your Material/Product Compliance Declaration (this document should give information demonstrating your compliance to REACH, if relevant, or clarify the company's exemption from it). If no, upload a declaration saying you don't have these substances.	Y/N	Document upload		
3.25	Do you have measures in place for responsible chemical management? (to safeguard compliance with applicable regulations). Please describe them or upload a clarification document.	Y/N	Document upload + Free Text		
3.26	Is there any tin, tungsten, tantalum, gold (3TG), cobalt, mica, copper, graphite (natural), lithium or nickel in the products your company manufactures or distributes? If yes, please upload your CMRT (Conflict Minerals Reporting Template), your EMRT (Extended Minerals Reporting Template) and any additional documents that demonstrate your actions to identify, assess and mitigate your conflict and extended minerals risk.	Y/N	Document upload		
4.0	G - Governance				
4.1	Do you have procedures and/or a program in place to prevent corruption, extortion, or embezzlement? If so, please briefly describe your program and/or procedures.	Y/N	Free text		
4.2	Do you have procedures and/or a program in place to ensure bribes or other means of obtaining advantages are not offered or accepted (avoiding conflict of interest)?	Y/N			



4.3	Do you have procedures and/or a program in place to ensure that fair business, advertising, and competition are upheld (complying with antitrust and fair competition laws)? If so, please briefly describe your program and/or procedures.	Y/N	Free Text		
4.4	Do you have procedures and/or a program in place to ensure information is disclosed in accordance with applicable laws and regulations (e.g. complying with insider trading rules, protection of intellectual property)? If so, please briefly describe your program and/or procedures.	Y/N	Free text		
4.5	Do you comply with all applicable regulations under labor and social law in the country of deployment when employees work abroad?	Y/N			
4.6	Do you ensure that subcontractors you engage comply with all applicable regulations under labor and social law in the country of deployment when employees work abroad?	Y/N			
4.7	Are you aware of the legal requirements stipulated by the EU's Posting of Workers Directive and the related notification obligation as well as the obligation to keep the respective documents readily available?	Y/N			
4.8	Does your company have any ISO or ESG certifications (e.g. ISO 37301, ISO 37001, ISO 27000), awards or ESG association memberships (e.g. UN Global Compact)? If yes, please upload.	Y/N	Document upload		
5.0	Export control				
5.1	Do you have an export control system in place-covering trade restrictions (e.g., dual use goods, goods on commerce control lists, etc.)?	Y/N			
5.2	Do you have a person within your organization that is responsible for export control matters?	Y/N	Free text		
5.3	Are you or any of your affiliates or directors or officers subject to sanctions of the USA, the EU or any other country?	Y/N			
5.4	Does your company exercise any political influence or lobbying activities? If yes, please describe shortly.	Y/N	Free text		



6.0	Inellectual property rights, trade secrets and data protection				
6.1	Do you routinely use non disclosure agreements (NDA's) to protect third party intellectual property rights (e.g. of your client)?	Y/N			
6.2	Are all your relevant employees trained on protection of third party intellectual property rights?	Y/N			
6.3	Do you have a policy and/or procedures/program in place to address cyer risks? If yes, please describe and/or provide a copy.	Y/N	Document upload + Free Text		
6.4	Do you have up-to-date ISO 27001 certifications? If so, please provide a copy under Certificates.	Y/N			
6.5	Do you have up-to-date IEC-62443 certifications? If so, please provide a copy under Certificates.	Y/N			
7.0	Supplier`s commitment and contractual obligation				
7.1	Do you require your suppliers to be in compliance with labor/employment and business ethics laws and regulations?	Y/N			
7.2	Do you have procedures in place to ensure that your suppliers, including labor brokers, operate in compliance with all applicable environmental, labor/employment, and business ethics laws and regulations? If so, please briefly describe your procedures. Do you have a Supplier Code of Conduct available for your suppliers?	Y/N	Free text		
7.3	Do you communicate information about your labor and/or business ethics performance, practices, and expectations to your suppliers?	Y/N			



7.4	Do you / your management or other persons from your sales organization have a personal or family connection with any department or the management of the registering ANDRITZ subsidiary?	Y/N			
8.0	Reporting, monitoring and sanctioning				
8.1	Has anyone in your company, including but not limited to executive leaderships, directors and/or managers been cited for major violations of laws resulting in monetary penalties and /or formal corrective actions mandated by a government authority or a court in the past 3 years?	Y/N			
	regarding human rights and fair working conditions incl. forced labor, child labour, human trafficking, modern slavery	Y/N			
	regarding environmental responsibility and sustainability	Y/N			
	regarding business integrity (e.g. fraud, bribery, antitrust, etc.)	Y/N			
	regarding export control provisions	Y/N			
	regarding intellectual property rights/business secrets	Y/N			
	cyber risks	Y/N			
8.2	Do you have an effective grievance procedure in place to allow employees to bring compliance-related violations and/or concerns to the management's attention in an anonymous way without fear of retribution? ("whistleblowing mechanism")	Y/N			