**Purpose**

[Name of BU] is committed to the long-term sustainability of the businesses and communities in which we operate. As described in the Sustainability Report of our parent company, Hutchison Ports has implemented numerous initiatives, such as the adoption of a Supplier Code of Conduct (the “Code”), to strengthen governance in the sustainability arena for achieving the vision of Hutchison Ports to be “The preferred partner for a sustainable supply chain”.

The aim of this Questionnaire is to provide [Name of BU] an opportunity to understand the sustainability transparency demonstrated by each business partner and product and service provider (collectively “supplier”) and the conformance status to the Code.

**Responsibility**

To complete this Questionnaire, we recommend assigning responsibility to a management person or dedicated personnel within your company for answering each question in a holistic view and candid manner.

**Completing the Questionnaire**

Each supplier should perform the following:

1. Respond to the questions listed in each subject area with:

“Yes” means that there are positive control attributes or processes in place to mitigate sustainability risks

“No” means that there is an absence of positive control attributes or processes, suggesting there is a control weakness that may give rise to an increase of sustainability risks

1. For questions (other than 5.1 and 5.2) with a “No” response, please state reason(s) and action plan(s) (if applicable) for completion in Section 6 of this Questionnaire. If the reason for a “No” response is because the question is not applicable to your company, please elaborate why this is not applicable to your company.
2. Sign off by the management person or dedicated personnel responsible for sustainability matters.

Thank you for your time in completing this Questionnaire. We will collate the answers and feedback to you on the follow-up of any necessary actions.

**Supplier Information:**

|  |  |  |
| --- | --- | --- |
| Company Name | : | Click or tap here to enter text. |
| Address | : | Click or tap here to enter text. |
| No. of Employees | : | Click or tap here to enter text. |
| Type of Product / Service | : | Click or tap here to enter text. |
| Supplier No. | : | Click or tap here to enter text. |
| Assessment Period | : | 1 April 2023 – 31 March 2024 |

**Parent Company Information of Supplier:**

|  |  |  |
| --- | --- | --- |
| Company Name | : | Click or tap here to enter text. |
| Address | : | Click or tap here to enter text. |
| No. of Employees | : | Click or tap here to enter text. |

**Supplier Sustainability Self-Assessment Questionnaire Completed by:**

|  |  |  |
| --- | --- | --- |
| Name | : | Click or tap here to enter text. |
| Job Title | : | Click or tap here to enter text. |
| E-mail | : | Click or tap here to enter text. |
| Telephone | : | Click or tap here to enter text. |

| **Ref.** | **Subject Area** |  | **Yes** | **No** | |
| --- | --- | --- | --- | --- | --- |
| **1.** | **Strategy** |  |  |  | |
|  | * 1. Is sustainability incorporated into your company's strategic objectives and business plan? |  |  |  | |
| **2.** | **Environmental** |  |  |  | |
|  | * 1. Are the following data collected? |  |  | |
|  | 1. Scope 1 Greenhouse Gas (GHG) emission data   (direct emissions from owned or controlled sources) |  |  |  | |
|  | 1. Scope 2 GHG emission data   (indirect emissions from the generation of purchased energy) |  |  |  | |
|  | 1. Scope 3 GHG emission data   (all indirect emissions (not included in Scope 2) that occur in the value chain of your company, including both upstream and downstream emissions) |  |  |  | |
|  | * 1. Is there a plan developed for reducing GHG emissions? |  |  |  | |
|  | * 1. Other than GHG emissions, are the following environmental data collected? |  |  | |
|  | 1. both hazardous and non-hazardous wastes produced |  |  |  | |
|  | 1. water consumption |  |  |  | |
|  | * 1. Are GHG emissions and other environmental data (as listed in 2.3) regularly reviewed and monitored to identify the potential focus for setting improvement strategies? |  |  |  | |
|  | * 1. Are environmental friendly, recycled and / or sustainably fostered products used in operations? |  |  |  | |
| **3.** | **Social** |  |  |  | |
|  | 3.1 Are the following social data collected? |  |  | |
|  | 1. number of work-related fatalities |  |  |  | |
|  | 1. rate of work-related fatalities |  |  |  | |
|  | 1. number of work-related lost days due to work injuries |  |  |  | |
|  | * 1. Are social data regularly reviewed and monitored to identify the potential focus for setting improvement strategies? |  |  |  | |
|  | * 1. Are occupational health and safety measures adopted to protect employees from occupational hazards? |  |  |  | |
| **4.** | **Governance** |  |  |  | |
|  | * 1. Does your company have a management person / dedicated personnel responsible for each of the environmental, social and governance (ESG) aspects on sustainability? |  |  |  | |
|  | * 1. Does your company consider the risks posed to your operations from climate change and actively mitigate their environmental impacts? |  |  |  | |
|  | * 1. Would you confirm your company has not been prosecuted or convicted of any offence involving violation of the relevant laws and regulations in the following areas? |  |  | |
|  | 1. emissions |  |  |  | |
|  | 1. employment |  |  |  | |
|  | 1. health and safety |  |  |  | |
|  | 1. labour standards |  |  |  | |
|  | 1. product responsibility |  |  |  | |
|  | 1. anti-corruption |  |  |  | |
|  | * 1. Does your company have relevant policies and procedures in place (e.g. the Supplier Code of Conduct) and communicate with business partners and suppliers to encourage their compliance and improvement in sustainability practices and performance? |  |  |  | |
|  | * 1. Has your company established and enforced written policies practices, systems, standards and/or conditions |  |  | | |
|  | 1. to avoid any form of corruption and bribery, and to promote ethical standards? |  |  |  | |
|  | 1. to ensure a fair and equitable workplace environment that is free from harassment or discrimination, including but not limited to age, race or ethnic origin, disability, gender, nationality, marital status, sexual orientation, political convictions or union affiliation? |  |  |  | |
|  | 1. and provided employees with personal protective equipment to minimise health hazards or harm to employees? |  |  |  | |
|  | 1. to prohibit the use of forced, prison, bonded and child\* labour as well as any form of slavery or human trafficking, and remain in compliance with all applicable minimum age legislations?   \*‘Child’ refers to any person less than 14 years of age, unless the minimum age for work or mandatory schooling is higher by local law, in which the stipulated higher age applies. |  |  |  | |
|  | 1. to minimise energy consumption and carbon footprint? |  |  |  | |
|  | * 1. Are regular training sessions provided to employees to raise awareness on the following aspects? |  |  | |
|  | 1. ethical standards |  |  |  | |
|  | 1. rights of employees (employment and labour standards) |  |  |  | |
|  | 1. environmental protection |  |  |  | |
|  | 1. health and safety |  |  |  | |
|  | * 1. Have performance targets been set? Do they satisfy SMART (Specific-Measurable-Achievable-Relevant-Time-bound) criteria? |  |  |  | |
| **5.** | **Planning and Improvements** | | | |
|  | * 1. Is there further improvement plan to be developed on the following aspects? |  |  | |
|  | 1. environmental |  |  |  | |
|  | 1. social |  |  |  | |
|  | 1. governance |  |  |  | |
|  | 1. others, please specify \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  |  |  | |
|  | * 1. Is your company seeking supports in any of the following aspects of sustainability? |  |  | |
|  | 1. emission data collection |  |  |  | |
|  | 1. sustainability programme development |  |  |  | |
|  | 1. others, please specify \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  |  |  | |

1. **Action Plan**

For any of the above questions (other than 5.1 and 5.2) with a “No” response, please state reason(s) and action plan(s) (if applicable) for completion. If the reason for a “No” response is because the question is not applicable to your company, please elaborate why this is not applicable to your company.

|  |  |
| --- | --- |
| Question Ref. | Reason / Action Plan (with Target Rectification Date) |
| Click or tap here to enter text. | Click or tap here to enter text. |

1. **Audit**

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **No** |
| Would you allow us to conduct audit if necessary based on your answers provided in this questionnaire? |  |  |

1. **Overall Assessment**

Based on the answers to the questions above, please score your company on the overall maturity and effectiveness of the sustainability framework as below:

|  |  |  |
| --- | --- | --- |
|  | 5 | Sufficient governance, processes and systems in place in managing material sustainability issues |
|  | 4 | Exceeded rating 3, but requiring further work to reach rating 5 |
|  | 3 | Basic governance, processes and systems in place in managing material sustainability issues; continuing improvements are required |
|  | 2 | Exceeded rating 1, but requiring further work to reach rating 3 |
|  | 1 | Insufficient governance, processes and systems in place in managing material sustainability issues |

1. **Submission**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| We confirm that this Questionnaire is completed after the assessment made by the management person or dedicated personnel responsible for sustainability matters.   |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | |  | | |  |  | | | | Title | : | Click or tap here to enter text. |  | Title | : | Click or tap here to enter text. | | Name | : | Click or tap here to enter text. |  | Name | : | Click or tap here to enter text. | | Date | : | Click or tap here to enter text. |  | Date | : | Click or tap here to enter text. | |