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Company name : Testcompany - WITHOUT INDUSTRY SPECIFIC CRITERIA

**Registration Data:**

Respondent's name:

(person to be contacted in case of questions)

Function/position:

Department:

Address:

Town/city:

Zip:

Country:

Phone:

Fax:

E-mail:

Web:

# Approval Form

Company name: Testcompany

## Confirmation of Truthful Company Statements and Documentation

The following people confirm that all statements made in the SAM Corporate Sustainability Assessment Questionnaire online or on paper as well as additional information / documentation (listed below) provided to SAM Research is true to the best of their knowledge. They confirm that they have read and accepted SAM's Information Policy and Disclaimer concerning the use of the provided information indicated below.

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Name	Function / Position
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Signature	Place, date
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Name	Function / Position
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Signature	Place, date
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### Use of Information Policy and Disclaimer

SAM Research Inc. (this term shall include its related, affiliated and subsidiary companies) will use the information provided by your company in connection with this survey as a basis for defining and distributing index products. In addition, this information may be used in aggregated form for other commercial activities of SAM Research Inc. such as research, advisory or investment activities. In aggregated - but never in individual - form, this information may also be used for publication. Aggregated information refers to information that is expressed in scores, not to the detailed information contained in the SAM Corporate Sustainability Assessment Questionnaire. By completing and returning to us this questionnaire, you agree to the use of such information as specified herein and that such information may be transferred abroad. To the extent permitted by law, SAM Research Inc. shall not be liable for any direct, indirect or consequential damages arising out of the use of such information. With regard to other important legal issues we refer to the disclaimer as stated on <http://www.sam-group.com/assessment2004> (after login). This policy and the disclaimer may be updated occasionally. Our use of such information is subject to the policy and disclaimer in effect at the time of use.

Documentation provided

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Please include only recent documentation which has not previously been sent to SAM Research.

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_
6. \_\_\_\_\_
7. \_\_\_\_\_
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9. \_\_\_\_\_
10. \_\_\_\_\_
11. \_\_\_\_\_
12. \_\_\_\_\_
13. \_\_\_\_\_
14. \_\_\_\_\_
15. \_\_\_\_\_

## Economic Dimension

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### Corporate Governance

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1. How many members are on your Board of directors?

- \_\_\_\_\_ members
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

2. How many Employee/Trade Union representatives, that are required by law, are on your Board/Supervisory Board?

- \_\_\_\_\_ Employee/Trade Union representatives
- Not known
- Not applicable

*Comment:*

*References:*

3. How many Board members have executive functions in your company?

- \_\_\_\_\_ members
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

4. Is the Board headed by a non-executive and independent chairman and/or an independent lead director?

- Yes, chairman is non-executive and independent.  
Please specify since when this approach was adopted: \_\_\_\_\_ year
- Yes, role of CEO and chairman is split and former CEO/chairman is now chairman.
- Yes, role of CEO and chairman is split and former CEO/chairman is now chairman.  
But independent lead director is appointed. Please indicate name: \_\_\_\_\_
- No, role of chairman and CEO is joint.  
But independent lead director is appointed. Please indicate name: \_\_\_\_\_
- No, role of chairman and CEO is joint.
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

5. In the table please indicate the functions, and committee names, for which the Board explicitly assumes formal responsibility.

Function	Responsibilities	Name of committee
Strategy	<input type="checkbox"/> Formal Board Responsibility	
Audit, accounting, risk management	<input type="checkbox"/> Formal Board Responsibility <input type="checkbox"/> All members are non-executives	
Selection and nomination of board members and top management	<input type="checkbox"/> Formal Board Responsibility	

	<input type="checkbox"/> All members are non-executives	
Remuneration of board members and top management	<input type="checkbox"/> Formal Board Responsibility <input type="checkbox"/> All members are non-executives	
Corporate social responsibility, corporate citizenship, sustainable development	<input type="checkbox"/> Formal Board Responsibility	

- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

6. Please indicate if the board of directors/supervisory board of your company has issued a formal corporate governance policy and provides publicly available information regarding its corporate governance framework such as charters of committees, biographies of directors. Please attach references.
- Yes, documented in \_\_\_\_\_ and/or website: \_\_\_\_\_
  - No formal corporate governance policy
  - Not applicable. Please provide explanations in the comment box below.
  - Not known

*Comment:*

*References:*

7. Please indicate the percentage of the main nationality represented on your Board of Directors relative to all other nationalities represented on the Board.
- \_\_\_%
  - Not applicable. Please provide explanations in the comment box below.
  - Not known

*Comment:*

*References:*

8. How many women are members on your company's Board of Directors?
- \_\_\_\_\_
  - Not applicable. Please provide explanations in the comment box below.
  - Not known

*Comment:*

*References:*

9. Please indicate the percentage of non-audit related fees (e.g. for management consulting) paid to your auditing firm as a percentage of total fees paid to your auditing firm at corporate level in the last fiscal year.
- \_\_\_%
  - Not applicable. Please provide explanations in the comment box below.
  - Not known

*Comment:*

*References:*

10. Does your company communicate the remuneration/compensation of your board of directors/supervisory board members and other highest paid senior directors/executives (e.g. CEO ) externally? Please attach references.
- Yes, on individual level of each board member and CEO and additional highest paid senior executives.

- Yes, on individual level of each board member and CEO
- Yes, on an aggregated level for non-executive directors AND on aggregated level for executives directors
- Yes, on aggregated level of board/supervisory board
- No
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

11. In this section we include a performance score on the Corporate Sustainability Monitoring with the objective to verify the company's involvement and management of crisis situations that can have a damaging effect on reputation. The evaluation will be filled in by the responsible analyst of your industry. Please press "save+next" to proceed to the next question.

*Comment:*

*References:*

## Investor Relations

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12. Please provide examples of material (e.g. analyst presentations, websites, reports, case studies, speeches etc.) used to communicate with and educate analysts and investors about sustainability issues and the relevance to your corporate strategy/bottom line.
- \_\_\_\_\_
  - Not applicable. Please provide explanations in the comment box below.
  - Not known

*Comment:*

*References:*

13. Do you conduct regular investor perception studies?
- Yes
  - No
  - Not applicable. Please provide explanations in the comment box below.
  - Not known

*Comment:*

*References:*

If yes, which of the following aspects are part of the perception study process/system? Please attach references.

- Number of perception studies per year:\_\_\_\_\_
- Feedback to board
- Feedback to chief financial officer
- Other, please specify:\_\_\_\_\_
- None
- Not known
- Not applicable. Please provide explanations in the comment box below.

*Comment:*

*References:*

14. Please indicate whether your company books the current value of its employee stock option programs as expenses:

- Yes, stated in financial report/statement or similar. Please attach references and/or indicate web address \_\_\_\_\_
- No
- No stock option programs available
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

If no, please indicate which of the following aspects are applicable to your company

- Current value of stock options disclosed in financial report/statement. Please attach references and/or indicate web address \_\_\_\_\_
  - Stock options to be booked as expenses by year
  - Stock option programs to be abandoned by year
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

### Strategic Planning

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15. In the table please indicate which options of your corporate sustainability strategy are a key focus in terms of future value generation/competitiveness enhancement.

Options	Relevance to value generation/competitiveness enhancement	Comment
Improved access to capital	<input type="radio"/> Strategically important <input type="radio"/> Important <input type="radio"/> Not relevant to strategy	
Talent attraction (human resources)	<input type="radio"/> Strategically important <input type="radio"/> Important <input type="radio"/> Not relevant to strategy	
Innovation trigger (products, services)	<input type="radio"/> Strategically important <input type="radio"/> Important <input type="radio"/> Not relevant to strategy	
Maintaining licence to operate by stakeholders (such as public, employees, NGOs etc.)	<input type="radio"/> Strategically important <input type="radio"/> Important <input type="radio"/> Not relevant to strategy	
Reducing environmental footprint	<input type="radio"/> Strategically important <input type="radio"/> Important <input type="radio"/> Not relevant to strategy	
Future business option creation (e.g. new market segments)	<input type="radio"/> Strategically important <input type="radio"/> Important <input type="radio"/> Not relevant to strategy	

- None of the options considered
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

16. Which of the following planning methods/tools does your company systematically use for strategic planning at corporate level?

Portfolio theory: briefly describe how it is applied:

Real options methods: briefly describe how they are applied.

Scenario planning: indicate the average time horizon used: \_\_\_\_\_

Systems dynamics methods: briefly describe how it is applied:

Other, please describe:

No such methods/tools used

Not applicable. Please provide explanations in the comment box below.

Not known

*Comment:*

*References:*

### Scorecards/Measurement Systems

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17. Please indicate the main purposes of your scorecard/measurement systems (such as Balanced Scorecards or similar). Please attach/provide documents.

To measure and integrate overall tangible and intangible corporate performance

To act as an integrated strategic planning and management tool, linking different levels of the company

To share process best practice across business units

To compare business unit performances ( Key Performance Indicators)

Scorecard/measurement systems to be implemented within the next \_\_\_\_\_ months

No scorecard/measurement systems implemented

Not applicable. Please provide explanations in the comment box below.

Not known

*Comment:*

*References:*

18. What perspectives are integrated in your company's scorecards/measurement systems ( Balanced Scorecard or similar) at a group/corporate level?

Customer / Product perspective

Governance / Stakeholder perspective

Financial / Shareholder perspective

Process / Internal perspective

People (Employee) / Learning perspective

Reputation perspective

Other, please specify: \_\_\_\_\_

Not applicable. Please provide explanations in the comment box below.

Not known

*Comment:*

*References:*

### Risk & Crisis Management

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19. Please indicate the name, position and reporting line of your chief risk officer or person responsible for this function at a group level.

Name: \_\_\_\_\_ Position: \_\_\_\_\_ Number of levels from the Board of

- directors/executive board: \_\_\_\_\_ Reporting line: \_\_\_\_\_
- Not applicable. Please provide explanations in the comment box below.
  - Not known

*Comment:*

*References:*

20. Please indicate the name, position and reporting line of the person responsible for issue/reputation management (i.e. coordination and communication of issues with high potential risk to your company's reputation) at a group level. Please also refer to the text in the information button.
- Name: \_\_\_\_\_ Position: \_\_\_\_\_ Number of levels from the Board of directors/executive board: \_\_\_\_\_ Reporting line: \_\_\_\_\_
  - Not applicable. Please provide explanations in the comment box below.
  - Not known

*Comment:*

*References:*

21. Please indicate the elements included in your company's crisis/emergency plans. Please provide supporting documents (e.g. index page of manual)
- Business continuity plan
  - Communication with the media and other critical audiences/stakeholders affected
  - Co-ordination between departments involved (e.g. Public Relations, Investor Relations, Manufacturing, Customer Service, Finance and Risk Management departments)
  - Frequent rehearsal/testing of plans
  - Mechanisms for early internal/external notification of an emergency situation
  - Not applicable. Please provide explanations in the comment box below.
  - Not known

*Comment:*

*References:*

22. In this section we include a performance score on the Corporate Sustainability Monitoring with the objective to verify the company's involvement and management of crisis situations that can have a damaging effect on reputation. The evaluation will be filled in by the responsible analyst of your industry. Please press "save+next" to proceed to the next question.

*Comment:*

*References:*

### Codes of Conduct/Compliance/Corruption&Bribery

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23. Please indicate for which areas corporate codes of conduct have been defined at a group level (including subsidiaries). Please attach references.
- Corruption and bribery
  - Discrimination
  - Confidentiality of information
  - Money-laundering and/or insider trading/dealing
  - Security of staff, business partners, customers
  - Environment, health and safety
  - Whistleblowing
- Documented in: \_\_\_\_\_
- No group-wide code of conduct

- Group-wide code of conduct to be implemented within the next \_\_\_\_\_ months
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

24. What mechanisms are in place to ensure effective implementation of your company's codes of conduct (e.g. compliance system)?

- Responsibilities, accountabilities and reporting lines are systemically defined in all divisions and group companies
  - Dedicated help desks
  - Codes of conduct linked to employee remuneration
  - Employee performance appraisal systems integrates compliance/codes of conduct
  - Disciplinary actions in case of breach, i.e. zero tolerance policy
  - Compliance system is certified/audited/verified by third party, please specify: \_\_\_\_\_
- No such systems/policies in place
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

25. Please indicate which of the following aspects are covered by your anti-corruption and bribery policy at a group level (including subsidiaries). Please refer also to the helptext in the information button. Please attach references.

- Bribes in any form, including kickbacks, on any portion of contract payments or softdollar practices
  - Direct or indirect political contributions
  - Political contributions publicly disclosed. Please attach supporting documents and/or indicate web address: \_\_\_\_\_
  - Charitable contributions and sponsorship
  - Charitable contributions and sponsorship publicly disclosed. Please attach supporting documents and/or indicate web address: \_\_\_\_\_
- Group-wide anti-corruption & bribery policy to be implemented within the next \_\_\_\_\_ months
- No anti-corruption & bribery policy
- Not known
- Not applicable. Please provide explanations in the comment box below.

*Comment:*

*References:*

26. Please indicate the percentage of coverage of your corruption and bribery policy relative to the total number of:

- Employees group-/worldwide: \_\_\_ %
- Contractors/Suppliers/Service providers: \_\_\_ %
- Subsidiaries: \_\_\_ %
- Joint ventures: \_\_\_ %
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

27. Does your company publicly report on breaches of your corruption and bribery policy? Please attach

references.

- Yes, please refer to the document(s) attached:\_\_\_\_\_
- No
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

28. In this section we include a performance score on the Corporate Sustainability Monitoring with the objective to verify the company's involvement and management of crisis situations that can have a damaging effect on reputation. The evaluation will be filled in by the responsible analyst of your industry. Please press "save+next" to proceed to the next question.

*Comment:*

*References:*

## Customer Relationship Management

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29. What approaches does your company use for integrating customer feedback?

- Harmonized CRM database at business unit level
  - Company-wide customer database, including marketing, order, fulfillment and customer service history
  - Web-based, harmonized feedback channels
  - Integration of feedback into product/services development
  - Dedicated helpdesks for complaints
  - Customers' complaints feedback to compliance officers and/or risk managers and/or communication officers
  - Corporate ombudsman for complaints, please indicate name:\_\_\_\_\_
- No such approach
- Not applicable. Please provide explanation in the comment box below.
- Not known

*Comment:*

*References:*

30. Does your company systematically monitor customer satisfaction?

- Yes, it is monitored by third parties (e.g. mystery shopper, interviews). Please attach/provide document:\_\_\_\_\_
- Yes, it is monitored internally. Please attach/provide document:\_\_\_\_\_
- No
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

31. In this section we include a performance score on the Corporate Sustainability Monitoring with the objective to verify the company's involvement and management of crisis situations that can have a damaging effect on reputation. The evaluation will be filled in by the responsible analyst of your industry. Please press "save+next" to proceed to the next question.

*Comment:*

*References:*

## Environmental Dimension

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### Environmental Policy/Management

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32. Please indicate the name, position and reporting line of the person responsible for environmental issues at the highest level within your organization.

- Name: \_\_\_\_\_ Position: \_\_\_\_\_ Number of levels from the Board of directors/executive board: \_\_\_\_\_ Reporting line: \_\_\_\_\_
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

33. Has your company adopted a corporate environmental policy? (whether stand alone or integrated into a broader policy statement). Please refer to the policy or indicate where it can be found on the web.

- Yes, documented in: \_\_\_\_\_
- No
- Policy is in development and to be implemented within the next \_\_\_\_\_ months
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

If yes, please indicate whether this policy applies to:

- Company's own operations
  - Environmental impacts of products & services
  - Suppliers & service providers (e.g. contractors)
  - Other key business partners (e.g. non-managed operations, JV partners, etc.), please specify: \_\_\_\_\_
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

34. Have quantified environmental targets been defined for the whole company? Please attach relevant documents.

- Yes
- No
- Groupwide targets are in development, to be implemented within the next \_\_\_\_\_ months
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

35. Please indicate how your environmental management system is verified/audited/certified:

- ISO 14001, JIS Q 14001, EMAS certification

- Third party verification/audit/certification by specialized companies
- Verification/audit/certification by internal specialists from headquarter
- Not verified/audited/certified
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

36. Please indicate the percentage of total revenues verified/audited/certified according to these systems:

- \_\_\_ % of revenues
- Not verified/audited/certified
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

37. In this section we include a performance score on the Corporate Sustainability Monitoring with the objective to verify the company's involvement and management of crisis situations that can have a damaging effect on reputation. The evaluation will be filled in by the responsible analyst of your industry. Please press "save+next" to proceed to the next question.

*Comment:*

*References:*

### Environmental Performance (Eco-Efficiency)

38. Please complete the following table and where possible indicate your reduction targets and explain the trend and the performance against the target.

<input type="radio"/> Indicator	Unit (if different from unit indicated)	Estimated coverage (%) of total revenue/ employees in 2003	2000	2001	2002	2003	Reduction Target for 2003	Please explain trend and performance against target
Total direct GHG emissions (metric tonnes CO2 equivalent)								
Total water use (m3)								
Total energy consumption (GJ)								
Total waste generation (metric tonnes)								

- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

## Environmental Reporting

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39. In this section we evaluate the content, context and coverage of the environmental reporting included in other reports or on your website (e.g. environment report, part of a sustainability/CSR report or of annual report). The evaluation will be filled in by the responsible analyst of your industry. Please press "save+next" to proceed to the next question.

*Comment:*

*References:*

## Social Dimension

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### Labor Practice Indicators

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40. Please complete the table and indicate which of the following performance/management indicators your company use regarding the following labor relations related issues, and are these externally communicated? Please provide documents and/or indicate web address.

Issue	Management / performance indicators	Communication
Non-Discrimination / Diversity (ILO convention No. 111)	<input type="radio"/> <input type="checkbox"/> Female of total workforce:% <input type="checkbox"/> Female in management positions of total workforce:% <input type="checkbox"/> Breakdown of workforce based on minority, culture or similar <input type="checkbox"/> Other diversity indicator, please specify: <input type="radio"/> No such indicators used	<input type="radio"/> <input type="checkbox"/> Externally <input type="checkbox"/> Internally <input type="radio"/> Not communicated <input type="radio"/> Not applicable
Equal Remuneration female/male (ILO convention No. 100)	<input type="radio"/> <input type="checkbox"/> Executive level: average salary female;; male: <input type="checkbox"/> Management level: female;; male: <input type="checkbox"/> Non-management level: female;; male: <input type="radio"/> No such indicators used	<input type="radio"/> <input type="checkbox"/> Externally <input type="checkbox"/> Internally <input type="radio"/> Not communicated <input type="radio"/> Not applicable
Freedom of Association (ILO convention No. 87; No. 98)	<input type="radio"/> <input type="checkbox"/> Employees represented by an independent trade union or covered by collective bargaining agreements:% <input type="checkbox"/> Consultations, negotiations with trade unions over organisational changes (e.g. restructuring, outsourcing): <input type="checkbox"/> Other indicators, please specify: <input type="radio"/> No such indicators used	<input type="radio"/> <input type="checkbox"/> Externally <input type="checkbox"/> Internally <input type="radio"/> Not communicated <input type="radio"/> Not applicable
Layoffs (based on ILO's A Guide To Worker Displacement)	<input type="radio"/> <input type="checkbox"/> Number of employees laid off in the last fiscal year: <input type="checkbox"/> Consultations, negotiations with employees over organisational changes (e.g. restructuring, outsourcing): <input type="checkbox"/> Other indicators, please specify: <input type="radio"/> No such indicators used	<input type="radio"/> <input type="checkbox"/> Externally <input type="checkbox"/> Internally <input type="radio"/> Not communicated <input type="radio"/> Not applicable
Health and Safety (based on ILO's codes of practices SafeWork)	<input type="radio"/> <input type="checkbox"/> Tracking of safety performance <input type="checkbox"/> Tracking of work-related fatalities <input type="checkbox"/> Tracking of near misses or similar crisis events <input type="checkbox"/> Other indicators, please specify: <input type="radio"/> No such indicators used	<input type="radio"/> <input type="checkbox"/> Externally <input type="checkbox"/> Internally <input type="radio"/> Not communicated <input type="radio"/> Not applicable

Not known

*Comment:*

*References:*

41. Please indicate which systems are in place to collect and handle employee grievances and complaints to ensure that workers can raise their concerns in confidentiality.

- Help line
- Whistleblowing policy
- Company own ombudsman, please indicate name:\_\_\_\_\_
- Counselling
- Strict confidentiality ensured. Please specify:\_\_\_\_\_
- Policies and related information widely circulated in appropriate languages
- No systems available
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

42. Does your company publicly endorse (having signed or publicly acknowledging adherence to) one or more of the following charters/frameworks?

- UN Universal Declaration of Human Rights
- ILO Tripartite Declaration of Principles concerning Multinational Enterprises and Social Policy
- OECD Guidelines for Multinational Enterprises
- Other national charters related to labor practices/basic rights issues (e.g. based on above mentioned guidelines), please specify and attach document:\_\_\_\_\_
- No charter/s signed or publicly endorsed
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

43. In this section we include a performance score on the Corporate Sustainability Monitoring with the objective to verify the company's involvement and management of crisis situations that can have a damaging effect on reputation. The evaluation will be filled in by the responsible analyst of your industry. Please press "save+next" to proceed to the next question.

*Comment:*

*References:*

## Human Capital Development

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44. Does your company measure and control the long-term success of your human resource policies in a formal/standardized way (e.g. based on indicators such as employee satisfaction)?

- Yes
- No
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

If yes, please indicate which performance indicators your company uses:

- Qualitative operating indicators/ratios (e.g. employee satisfaction, degree of implementation of HR projects etc.)
- Non-financial operating indicators/ratios (e.g. number of hours spent in training, staff turnover rate, number of staff out sick, etc.)
- Cost-based financial indicators/ratios (e.g. training cost per employee)
- Investment- or value-based financial indicators/ratios (e.g. ROI - Return on investment, EVA - Economic value added, CVA - Cash value added)
- Human resource-based financial indicators/ratios (e.g. VAP - value added per person, margin per employee)
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

45. Does your company have a medium-term workforce and skills plan comparing current employees and their skills with the future number, type and skills of employees required to execute the business plan?
- Yes, available for business/performance units generating more than 75% of total revenue
  - Yes, available for business/performance units generating 50% - 75% of total revenue
  - Yes, available for business/performance units generating less than 50% of total revenue
  - Not available
  - Not applicable. Please provide explanations in the comment box below.
  - Not known

*Comment:*

*References:*

46. Please indicate the percentage of skilled employees and executives receiving a regular (e.g. at least once per year) formal evaluation of their performance ( performance appraisal)
- \_\_\_ % of employees
  - Not applicable. Please provide explanations in the comment box below.
  - Not known

*Comment:*

*References:*

47. Please indicate how senior/middle management is appraised.
- Regular performance appraisal by line superior
  - Multidimensional performance appraisal (e.g. line superior plus upward feedback plus 360 degree feedback)
  - Systematic use of agreed measurable targets and indicators (e.g. project completion)
  - Formal comparative ranking of managers
  - Not applicable. Please provide explanations in the comment box below.
  - Not known

*Comment:*

*References:*

48. Please indicate the percentage of employees to follow a company training program specific to their job category (e.g. sales manager) before or at the onset of their job/position.
- \_\_\_ % of employees
  - No specific training offered
  - Not applicable. Please provide explanations in the comment box below.
  - Not known

*Comment:*

*References:*

### Talent Attraction & Retention

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49. Please indicate the percentage of employees hired based on a validated recruitment process/selection test (e.g. quality of hiring process statistically tested or verified with checklists) in the last fiscal year. For additional information please refer to the information button.

- \_\_\_ % of employees
- No formal hiring process
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

50. Please indicate the percentage of skilled employees (managerial, professional and technical employees) leaving the company in the course of the past year relative to the total average number of skilled employees during the last year:

- \_\_\_ % of employees
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

51. Please indicate the percentage of your workforce that is systematically re-assigned within the company or in extreme cases outplaced because of weak individual performance relative to the total average number of total workforce during the last fiscal year.

- \_\_\_ % of workforce
- No systematic re-assignment or outplacement
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

52. Does your company regularly track and benchmark employee satisfaction against industry peers with regard to the following issues?

- Rewards and recognition
- Leadership
- Supportive/collaborative team environment
- Personal development possibilities
- Job satisfaction/opportunity to make a difference
- Working environment (Health and safety, social climate, etc.)
- Identification with corporate values and strategy
- Other, please specify: \_\_\_\_\_
- No
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

53. Based on your company's employee satisfaction surveys, please characterize the satisfaction level of your employees relative to the previous survey period. Please provide documents and/or indicate web address

- Higher level of employee satisfaction
  - Constant level of employee satisfaction
  - Decreased level of employee satisfaction
- No employee satisfaction trend analysis
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

54. What percentage of compensation/annual salary (excluding fringe benefits such as pension plans or company car) of skilled employees and managers is on average performance related for:

- Top/Senior management:\_\_\_ %
  - Middle/Lower management:\_\_\_ %
  - Sales Staff:\_\_\_ %
  - Technical specialists:\_\_\_ %
  - Overall company average:\_\_\_ %
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

55. For the overall company, what percentage of performance related compensation is on average constituted by:

<input type="radio"/> Type of performance related compensation	Percentage [%]
Stocks or other forms of stock related compensation (eg: options)	
Other long-term compensation (not directly stock-related)	
Profit shares (or similar)	
Sales or order commission (or similar)	
Bonus pool based on profit, divided up based on management assessment	
Scorecard target bonus set in relation to salary granted on the basis of management assessment	
Other, Please specify:	

- Not applicable
- Not known
- No Answer

*Comment:*

*References:*

56. Please indicate the group-wide employee benefits provided by your company in addition to government schemes.

- Pension plans
- Health and/or accident insurance
- Medical care for employee families
- Disability insurance/programs
- Maternity and/or paternity leave
- Child care
- Employee assistance program

- Other, please specify: \_\_\_\_\_
- No additional benefits offered
- Not applicable. Please provide explanations in the comment.
- Not known

*Comment:*

*References:*

57. Does your company offer the choice of supplementary private pension plans with a sustainability/socially responsible component to its employees?

- Yes, please attach documents and/or web address:  
\_\_\_\_\_
- No
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

58. In this section we include a performance score on the Corporate Sustainability Monitoring with the objective to verify the company's involvement and management of crisis situations that can have a damaging effect on reputation. The evaluation will be filled in by the responsible analyst of your industry. Please press "save+next" to proceed to the next question.

*Comment:*

*References:*

### Knowledge Management/Organizational learning

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59. Please indicate if formal organizational learning/ knowledge management systems are in place at your company and the percentage of employees involved in them.

- Formal systems in place covering approximately \_\_\_ % of total employees.
- Formal systems are not in place.
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

60. In the table please indicate the relative importance of the different aims of your knowledge management/organizational learning systems to support the execution of your corporate strategy.

Aims of system	Importance to support execution of strategy	Comment
Increase efficiency	<input type="radio"/> Strategically important <input type="radio"/> Important <input type="radio"/> Not considered as important	
Support innovation	<input type="radio"/> Strategically important <input type="radio"/> Important <input type="radio"/> Not considered as important	
Reduce risk, early warning system	<input type="radio"/> Strategically important <input type="radio"/> Important <input type="radio"/> Not considered as important	
Enhance learning and the intellectual	<input type="radio"/> Strategically important	

capital of the firm	<input type="radio"/> Important <input type="radio"/> Not considered as important	
Improve understanding of strategy and vision	<input type="radio"/> Strategically important <input type="radio"/> Important <input type="radio"/> Not considered as important	
Categorize and structure information	<input type="radio"/> Strategically important <input type="radio"/> Important <input type="radio"/> Not considered as important	

- None of these aims considered
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

61. Please indicate the tools/processes widely adopted by your company to manage organizational learning and knowledge management.

- Experts directories
- Informal knowledge/learning networks
- Formal knowledge/learning networks with regular meetings and staff support
- Intranet based knowledge repositories/databases
- Intranet based interactive knowledge platforms integrated into daily work processes
- Peer group Key Performance Indicator comparisons across Business Units
- Systematically accessible descriptions of best practice processes
- Collaboration/ knowledge sharing as formal feedback criterium
- Bonus directly related to collaboration/ knowledge sharing
- Company academy/ university
- Other, please specify: \_\_\_\_\_
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

### Standards for Suppliers

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62. In which of the following areas has your company defined group-wide corporate requirements/guidelines for the selection and ongoing evaluation of key suppliers and service providers at a group level. Please attach examples of such guidelines.

- Environment
  - Labor standards/employment practices
  - Occupational health & safety
  - Human rights (ILO conventions)
  - External supplier audits/assurance (e.g. AA1000): please specify: \_\_\_\_\_
  - Other, please specify: \_\_\_\_\_
- Standards are in development and to be implemented within the next \_\_\_\_\_ months
- No such guidelines
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

63. In this section we include a performance score on the Corporate Sustainability Monitoring with the objective to verify the company's involvement and management of crisis situations that can have a

damaging effect on reputation. The evaluation will be filled in by the responsible analyst of your industry. Please press "save+next" to proceed to the next question.

*Comment:*

*References:*

## Stakeholder Engagement

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64. Please indicate how your company engages with external stakeholders. Please attach/provide supporting documents or indicate website.

- Identification, prioritization and mapping of key stakeholders for input into corporate strategy.
  - Regular briefings/meetings in form of stakeholder dialogue workshops
  - Feedback from stakeholders to board/supervisory board and/or senior directors and/or compliance and/or communication department
  - Ongoing long-term project teams/partnerships. Examples:  

---
  - Other, please describe:  

---
- No such stakeholder engagement
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

65. Does your company regularly conduct satisfaction surveys or perception studies of the following stakeholders? Please provide supporting documents or indicate website.

- Governments, authorities
  - Interest groups, such as consumer organizations
  - Local communities
  - Media
  - Non-governmental organizations (NGOs)
  - Suppliers / Service providers
  - Minority groups, such as disabled customers
  - Trade Unions
- No stakeholder perception study
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

66. In this section we include a performance score on the Corporate Sustainability Monitoring with the objective to verify the company's involvement and management of crisis situations that can have a damaging effect on reputation. The evaluation will be filled in by the responsible analyst of your industry. Please press "save+next" to proceed to the next question.

*Comment:*

*References:*

## Corporate Citizenship/Philanthropy

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67. Is your company's philanthropic/ corporate citizenship/social responsibility strategy aligned with your

corporate strategy?

- Yes
- No
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

If yes, please indicate the focus of your company's philanthropic spending by allocating 100% across the following aspects to reflect where you focus your company's giving.

Focus of giving	Percentage
Communal obligation (citizenship, supporting the community and responding to community needs)	%
Context focused addressing social, environmental and economic goals that improve a company's competitive context, e.g. by creating access to new markets	%
Relationship building with employees by maintaining license to operate by building goodwill	%
Relationship building with customers by maintaining license to operate by building goodwill	%
Enhance corporate reputation	%

- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

68. Please indicate the percentage of your company's philanthropic contributions / voluntary social investments in the following categories. Please attach references.

- Employee volunteerism
- Capacity Building: such as skill donation, management advice
- Long-term partnerships with communities, voluntary organisations in fields such as education, health
- Projects using company's distribution and logistic networks for philanthropic purposes:
- Other. Please specify \_\_\_\_\_
- No contributions
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

69. Does your company have a system in place to systematically measure the impact of your company's contributions in order to further improve/re-align the company's philanthropic/social investment strategy:

- Business outcomes and impact (e.g product innovation)
- Social outcomes and impact
- Impact on corporate reputation and stakeholder satisfaction
- Other, please specify: \_\_\_\_\_
- No system in place
- Not applicable. Please provide explanations in the comment box below.
- Not known

*Comment:*

*References:*

70. Please estimate the monetary value of your company's philanthropic contributions/voluntary social investments in the following categories in the last fiscal year.

in currency: \_\_\_\_\_

Type of contributions	Amount
Cash contributions	
In-kind giving: Employee volunteering during paid working hours	
In-kind giving: Product or service donations Projects/partnerships or similar	Cost or tax valuation
Total	In % of pre-tax profit/EBIT: %

Not applicable. Please provide explanations in the comment box below.

Not known

*Comment:*

*References:*

## Social Reporting

71. In this section we evaluate the content, context and coverage of the social reporting included in other reports or on your website (e.g. social report, part of a sustainability/CSR report or of annual report). The evaluation will be filled in by the responsible analyst of your industry. Please press "save+next" to proceed to the next question.

*Comment:*

*References:*