

CSR Procurement Guidelines

2-1. Did you read Ebara Corporation's CSR Procurement Guidelines when completing this questionnaire?

2-2. If RBA Code of Conduct has been adopted, Does management have a full understanding of the RBA Code of Conduct and its demands and has it indicated a response policy?
In addition, does the company provide information on the RBA Code of Conduct, its demands, and its expectations to all executives and employees?

Labor

A Freely Chosen Employment

3-A-1 Does the company use forced labor; bonded (including debt bondage) or indentured labor; involuntary or exploitative prison labor; or slavery or trafficking of persons?

3-A-2 Are excessive constraints placed on employees or is their freedom limited?

3-A-3 If the company employs foreign or migrant workers, does it use employment contracts and terms in their native language?

3-A-4 If the company employs foreign or migrant workers, are the terms of the employment contract concluded before the person departs their home country the same as those of the employment contract concluded in the country where they work or meet local (home country) applicable laws?

3-A-5 Does the company not only demand that workers hand over their government-issued ID, passport, work permit, or immigration application but also store them?

3-A-6 Do workers themselves have to pay the worker's or agency's placement fees or recruiting-related fees?

B Young Workers

3-B-1 Does the company use child labor? (Child refers to people who are not yet 15, have not completed compulsory education, or are younger than the youngest age permitted to work in the particular country, whichever is greatest.)

3-B-2 Does the company make young workers (workers younger than 18) engage in work that could expose them to health and safety risks, including night work and overtime?

3-B-3 Does the company properly manage student workers in accordance with applicable laws and regulations related to student workers?

3-B-4 Is the pay rate for student workers and interns and during trial periods the same as that for other new employees conducting the same or similar work?

C Working Hours

3-C-1 Are working hours for employees within the maximum number permitted by law?

3-C-2 Are employees provided a number of days off that meet standards set by law?

D Wages and Benefits

3-D-1 Does compensation paid to employees comply with all applicable laws related to minimum wage, overtime, benefits, etc.?

3-D-2 Does the company pay a greater hourly wage for overtime work than the normal hourly wage?

3-D-3 Excluding situations based on procedures stipulated in advance by in-house rules, such as employment rules, etc., does the company not inappropriately make deductions from wages as disciplinary action?

3-D-4 Are statements related to salary, bonuses, etc., accurate, understandable, and correspond to work done by and evaluations of employees? Are these statements provided and salaries, bonuses, etc., paid in a timely manner?

E Humane Treatment

3-E-1 Have there been any cases of sexual harassment, abuse of authority, corporal punishment, mental or physical oppression, or verbal abuse against employees?

3-E-2 Has the company clearly stipulated disciplinary policies and procedures for cases of sexual harassment, abuse of authority, corporal punishment, mental or physical oppression, or verbal abuse, and informed employees of them?

F Non-Discrimination

3-F-1 In regard to pay, raises, compensation, and recruiting practices (training, etc.), have there been cases of discrimination based on race, skin color, age, sex, sexual orientation, gender identity and sexual expression, ethnicity or nationality, disability, pregnancy, religion, political affiliation, union membership, covered veteran status, protected genetic information, marital status, etc.?

3-F-2 Are reasonable efforts made to accommodate employees' religious practices (fasting, worship, etc.)?

3-F-3 Does the company have employees or expected new hires to submit to medical or physical exams that could be used for discrimination?

G Freedom of Association

3-G-1 Does the company respect the rights of employees related to the freedom of association, such as to form unions?

3-G-2 Do employees and employee representatives share their opinions and concerns regarding work conditions and business practices with management without fear of discrimination, retaliation, threats, or harassment?

Health and Safety

A Occupational Safety

4-A-1 Does the company properly identify and assess potential sources of danger for employees (those related to chemical substances, electrical and other energy sources, fire, vehicles and falls, etc.)? Does the company control these through proper design, engineering and administrative controls, preventative maintenance and safe work (including lockout/tag out) procedures, and ongoing safety training to eliminate or mitigate those dangers?

4-A-2 Are pregnant women not assigned to highly dangerous work environments and are efforts made to eliminate or reduce safety and health related risks for pregnant women?

B Emergency Preparedness

4-B-1 Has the company developed emergency response plans and procedures to minimize the impact of and damage from emergencies? (Issuing flash emergency reports, making employee notifications, developing evacuation procedures, providing training, installing appropriate fire detectors and fire extinguishers, securing evacuation routes, formulating recovery plans, etc.)

C Occupational Injury and Illness

4-C-1 Are there established procedures and systems to prevent, manage, track, and report occupational injury and illness? (Encouraging worker reporting, classifying and recording accidents and cases of disease, providing necessary treatment, examining cases and implementing corrective measures to eliminate causes, and promoting employees' return to work, etc.)

D Industrial Hygiene

4-D-1 Does the company identify, evaluate, and control chemically, biologically, and physically dangerous materials that employees are exposed to according to the hierarchy of controls?

4-D-2 Does the company have appropriate protective equipment to protect employees from dangers and ensure their health and safety and provide that equipment to individual employees?

E Physically Demanding Work

4-E-1 Does the company identify, evaluate, and control workplace risk factors that place a physical burden on employees? (Work that entails lifting heavy objects or repeatedly lifting items, work requiring standing for a long time, highly repetitive or forceful assembly tasks, etc.)

F Machine Safeguarding

4-F-1 If there is the danger that production or other equipment will injure employees, does the company implement effective safety measures and appropriately maintain and manage that equipment?

G Sanitation, Food, and Housing

4-G-1 Does the company have toilet facilities, drinking water facilities, and facilities to prepare, store, and eat food? Are these provided to employees and maintained in a safe, clean way?

4-G-2 If there are worker dormitories, are they safe and clean and equipped with appropriate furnishings?

4-G-3 Do worker dormitories provide residents with private space of an appropriate size?

H Health and Safety Communication

4-H-1 If there are foreign workers, does the company provide information on and training related to workplace safety and health in their native language or a language they understand?

4-H-2 Does the company post workplace safety and health related information in an easy-to-see place in the company and store it somewhere where employees have easy access to?

4-H-3 Does the company provide employees with training before they start work and regularly conduct training after that?

4-H-4 Does the company have a system and provide opportunities for employees to raise concerns about safety?

Environmental

A Environmental Permits and Reporting

5-A-1 Does the company obtain and maintain the licenses, permits, and registrations required by laws, ordinances, and regulations? Does the company conduct operations in accordance with the latest requirements of those licenses and permits?

B Pollution Prevention and Resource Reduction

5-B-1 Does the company implement measures to not only reduce or limit the amount of pollutants it emits and waste it generates but also to fully eliminate those?

5-B-2 Does the company have a program and implement measures to reduce its use of natural resources, such as water, fossil fuels, minerals, and products made from old-growth wood?

C Hazardous Substances

5-C-1 Does the company not only identify chemical and other substances that could harm people and the environment but also manage them so that they are safely handled, transported, stored, used, recycled, and processed (disposed of, etc.) as stipulated by relevant laws, ordinances, and regulations?

D Solid Waste

5-D-1 Does the company follow procedures to identify, manage, reduce waste (other than hazardous substances) and to dispose of or recycle waste in line with laws, ordinances, and regulations?

E Air Emissions

5-E-1 Does the company confirm the properties of volatile organic compounds, corrosives, particulates, ozone depleting chemicals, and combustion by-products, etc., before they are emitted? Does the company monitor, control, and treat them as stipulated by laws, ordinances, and regulations when emitting them?

5-E-2 Does the company routinely monitor the operation of its air emissions control system?

F Materials Restrictions

5-F-1 For substances included in products it produces and sells, does the company comply with applicable laws, regulations, and customer demands related to the prohibition and limit on the use of designated materials?

G Water Management

5-G-1 Does the company monitor, manage, treat, and release/dispose of all waste water in accordance with laws, ordinances, and regulations?

H Energy Consumption and Greenhouse Gas Emissions

5-H-1 Does the company minimize its energy consumption and greenhouse gas emissions and implement cost-effective measures?

Ethics

A Business Integrity

6-A-1 Does the company have policies that completely prohibit all forms of bribes, corruption, extortion, and embezzlement?

B No Improper Advantage

6-B-1 Does the company have a policy that stipulates that executives and employees shall not offer or accept unlawful payments or excessive gifts?

C Disclosure of Information

6-C-1 Does the company properly disclose information related to its business activities and earnings in accordance with applicable laws and regulations?

D Intellectual Property

6-D-1 Has the company created procedures to protect intellectual property, technology, know-how, and customer and supplier information?

E Fair Business, Advertising, and Competition

6-E-1 Does the company have a policy that stipulates that the company will conduct fair business (adhere to anti-monopoly laws and regulations, etc.), advertising, and competition?

F Protection of Identity and Non-Retaliation

6-F-1 Does the company have a system for receiving reports on suspicions about parties who may have engaged in unethical behavior and a system to protect whistleblowers from retaliation, etc.?

G Responsible Sourcing of Minerals

6-G-1 Does the company have a policy that prohibits the purchase and use of conflict minerals and products that include those minerals? Does the company also have a system for checking that those minerals are not used?

H Privacy

6-H-1 Has the company created processes related to personal information protection and information security that comply with laws and regulations?

Management Systems

A Company Commitments

7-A-1 Does the company have policies and norms regarding labor, human rights, safety and health, environmental management, and ethics that have been approved by management?

B Management Accountability and Responsibility

7-B-1 Are the responsibilities and authority related to labor, human rights, safety and health, environment management, and ethics clearly defined in order to implement a management system and adhere to laws, regulations, and norms?

C Legal and Customer Requirements

7-C-1 Has the company created a process for identifying, monitoring, and gaining an understanding of applicable laws and customer requirements related to labor, human rights, safety and health, environmental management, and ethics*? Does the company implement this process?

D Risk Assessment and Risk Management

7-D-1 Does the company have procedures and management processes to identify risks related to labor, human rights, safety and health, environmental management, and ethics; to evaluate and manage identified risks; and to ensure compliance with regulations?

E Improvement Objectives

7-E-1 Does the company have written performance goals, targets, and implementation plans to improve efforts related to society and the environment? Is the degree that those are achieved regularly evaluated?

F Training

7-F-1 Does the company clearly indicate to all executives and employees policies, procedures, and targets related to labor, human rights, safety and health, environmental management, and ethics? Does the company have a training program for all executives and employees to fulfill the requirements of applicable laws and regulations?

G Communication

7-G-1 Does the company have a process for not only evaluating how well executives and employees understand the company's activities related to labor, human rights, safety and health, environmental management, and ethics and the conditions for undertaking those activities but also implementing improvements by receiving feedback from executives and employees. Is this process followed?

H Executive and Employee Feedback, Participation, and Grievance

7-H-1 Does the company have a process for communicating policies, activities, and history of efforts related to labor, human rights, safety and health, environmental management, and ethics to employees, suppliers, and customers?

I Audits and Assessments

7-I-1 Does the company regularly conduct self-evaluations in order to confirm compliance with the requirements of laws and regulations and customer requirements?

J Corrective Action Process

7-J-1 Does the company have a process for implementing corrective measures for defects and nonconformities identified through internal and independent evaluations, inspections, examinations, or audits?

K Documentation and Records

7-K-1 Does the company appropriately maintain documents and records related to labor, human rights, safety and health, environmental management, and its ethic management system? Does the company also appropriately manage level-specific access to ensure the protection of personal information?

L Supplier Responsibility

7-L-1 Does the company communicate requirements stipulated in the Ebara CSR Procurement Guidelines to its suppliers who provide products for Ebara and have a process for confirming the state of compliance?

If the RBA Code of Conduct has been adopted,
7-L-2 Does the company inform its suppliers of requirements stipulated in the RBA Code of Conduct and have a process for checking that the code is adhered to?

Business Continuity Plan (BCP)

8-1 Does the company define the types of risks and extent that they impact the sustainability of the company and has it formulated a business continuity plan (BCP)?

8-2 Has the company created an in-house emergency contact network and is it updated?

8-3 Has the company secured alternate business sites in case its main business sites (head office, production bases, etc.) are damaged?

8-4 Has the company set a safety stock level for its products in the case production bases or warehouses are damaged and achieved that level?

8-5 Has the company created a list of important suppliers for procuring products or producing products and does it regularly update that list?

8-6 Does the company work to get more vendors to introduce business continuity plans (BCP)?