



**HP Supplier Self-Assessment**

**Part 2**

**Part D: Health and Safety / Environmental Management System**

**Part B: Health and Safety**

**Part C: Environment**

**Introduction:**

Completion of the *HP Supplier Self-Assessment* is required under the [Supplier Social and Environmental Responsibility Agreement](#). The self-assessment enables the supplier and HP to assess the supplier's performance with respect to the *HP Supplier Code of Conduct* (also known as the "[Electronic Industry Code of Conduct](#)"). It also is a means for HP to provide recommendations for those areas identified as opportunities for improvement. HP encourages its suppliers to accurately identify any areas in which their operations do not conform to the requirements of *HP's Supplier Code of Conduct*. As indicated in *HP's Supplier Code of Conduct*, HP expects to work collaboratively with its suppliers to achieve these standards.

The self-assessment is based on the sections of the *Electronic Industry Code of Conduct* and is divided into two questionnaires:

- 1) Part A: Labor and Part E: Code of Conduct and Ethics
- 2) Part B: Health and Safety and Part C: Environmental

Note: Part D: Management System is included as a subset in each questionnaire

Including preparation time, each questionnaire can take up to 1½ hours to complete. Preparation time includes gathering resources, locating and copying requested documents, and communicating with colleagues. **Please note that each facility manufacturing products for HP is required to fill out a set of the self-assessment questionnaires.**

For more information about HP's Supply Chain Social and Environmental Responsibility Program can be found on HP's web site at: <http://www.hp.com/go/supplierE>

**Supplier Contact Information:**

Date:	Contact Name:
Company Name:	
Facility Address:	Position / Title:
	Telephone Number:
	Fax Number:
	Email:
	HP Commodity Manager / Account Manager:

**Part D: Health & Safety / Environmental Management System**

*HP's Supplier Code of Conduct* states that "participants shall adopt or establish a management system whose scope is related to the content of this Code. The management system shall be designed to ensure (a) compliance with applicable laws, regulations and customer requirements related to the participant's operations and products; (b) conformance with this Code; and (c) identification and mitigation of operational risks related to this Code. It should also facilitate continual improvement."

**General:**



### Compliance with Laws

*HP's Supplier Code of Conduct* states that "...a business, in all of its activities, must operate in full compliance with the laws, rules and regulations of the countries in which it operates."

1. Has the company been cited for violations resulting in monetary penalties and/or formal corrective actions mandated by a government authority or a court in the past 3 years?

Environmental:  Yes  No

Health & Safety:  Yes  No

1.1 If "Yes," indicate the nature of the violation(s) and actions taken to remedy the situation. Check all that apply:

Env. OHS

- |                          |                          |   |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | Government or regulatory agency required the company or facility to pay a monetary penalty because of citation or violation(s).                   |
| <input type="checkbox"/> | <input type="checkbox"/> | Government or regulatory agency required shutdown of an operation or entire site because of citation or violation(s).                             |
| <input type="checkbox"/> | <input type="checkbox"/> | Company official(s) were fined or imprisoned because of citation or violations.   |
| <input type="checkbox"/> | <input type="checkbox"/> | Government or regulatory agency required change(s) in procedures as a corrective action.  |
| <input type="checkbox"/> | <input type="checkbox"/> | Government or regulatory agency required change in or installation of physical controls (e.g. emission control equipment) as a corrective action. |
| <input type="checkbox"/> | <input type="checkbox"/> | Company was responsible for determining corrective actions to be taken  |
| <input type="checkbox"/> | <input type="checkbox"/> | Government or regulatory agency determined corrective actions to be taken.  |
| <input type="checkbox"/> | <input type="checkbox"/> | Corrective actions are currently in progress.   |
| <input type="checkbox"/> | <input type="checkbox"/> | Corrective actions have been completed.   |
| <input type="checkbox"/> | <input type="checkbox"/> | As a result of regulatory violations, the company was/is banned from doing business with a government entity.                                     |
| <input type="checkbox"/> | <input type="checkbox"/> | Other. Please describe: _____   |

### Management System Applicability and Third-Party Certification

2.1 The facility's management system applies to: Check all that apply.

- Environment  
 Health & Safety  
 no management system in place

2.2 Is the facility's environmental management system registered to ISO 14001?

Yes  No

2.2.1 If "Yes," please list the certificate number, date of issue, and registrar, and attach a copy of the certificate and latest registration audit.

**label your attachment "ISO 14001"**

2.3 Is the facility's occupational health and safety management system registered to OHSAS 18001



(or equivalent)?

Yes  No

2.3.1 If "Yes," please list the certificate number, date of issue, and registrar, and attach a copy of the certificate and latest registration audit.

**label your attachment "OHSAS 18001"**

### Supplier Management

*HP's Supplier Code of Conduct* states that: "it is also expected that each Participant shall require its first tier suppliers to acknowledge and implement the Code."

3. Does the company/facility require its suppliers to be in compliance with environmental, health and safety laws and regulations?

Environmental:  Yes  No

Health & Safety:  Yes  No

3.1 If "Yes," please indicate how the requirement to comply with laws and regulations is communicated to your suppliers and assured by your management. Check all that apply:

Env. OHS

- The requirement is part of the company/facility's policy or standard which is available to suppliers
- The company/facility sends to suppliers a written notification of the requirement
- The compliance requirement is incorporated into a written agreement which is signed by all of the company/facility's suppliers
- We learn of compliance problems with our suppliers when they or third parties notify the company/facility or our management.
- We actively verify the compliance status of our suppliers or have a process to assure our suppliers' compliance with laws and regulations.
- Other. Please describe: \_\_\_\_\_

4. Does the facility communicate information about its environmental and/or health & safety performance, practices and expectations to its suppliers?

Environment:  Yes  No

Health & Safety:  Yes  No

4.1 If "Yes," please indicate the means of communication. Check all that apply:

Env. OHS

- Correspondence to supplier management.
- Contract terms and conditions.
- Presentations to suppliers.
- Training for suppliers.
- Company extranet.
- Other. Please describe: \_\_\_\_\_



### D1 Company Commitment

*HP's Supplier Code of Conduct* states that HP's suppliers must have: "Corporate social and environmental responsibility statements affirming Participant's commitment to compliance and continual improvement."

1.1 Does the company/facility have a policy/commitment statement affirming the company's commitment to compliance and continuous improvement in the following areas?

Environmental:  Yes  No

Health & Safety:  Yes  No

If "Yes," please attach your policy/commitment statement(s).

**label your attachment "D1.1"**

1.2 Indicate the scope of the policy/commitment statement and how it is implemented by checking all that apply:

Env. OHS

The policy/commitment statement is signed by company executive management.

The policy/commitment statement is signed by the highest level manager at the facility.

It is a company-wide policy/commitment statement that applies to all facilities regardless of the country in which they are located

The policy/commitment statement applies only to sites in a specific country or geographic region

The policy/commitment statement applies only to this facility

The policy/commitment statement is publicly available on the company/facility website

The policy/commitment statement is reviewed annually by management and revised as needed.

Other. Please describe: \_\_\_\_\_

1.4 Is the policy/commitment statement made available to the company/facility's workers?

Environment:  Yes  No

Health & Safety:  Yes  No

If "Yes," please indicate how the policy/commitment statement is made available to workers. Check all that apply:

Env. OHS

Policy/commitment statements are available via means accessible to all workers (i.e. internal website, common area bulletin boards, etc.) in their native language(s)

Policy/commitment statements are included in handouts provided to all workers (i.e. worker handbook, worker orientation training materials, program awareness documents, etc.) in their native language(s)

Other. Please describe: \_\_\_\_\_



**D2 Management Accountability and Responsibility**

*HP's Supplier Code of Conduct* states that HP's suppliers must have a: "Clearly identified company representative(s) responsible for ensuring implementation and periodic review of the status of the management systems."

2.1 Is a management representative of the company assigned responsibility for implementing programs to ensure compliance with laws and regulations and the requirements of the *HP Supplier Code of Conduct*?

Environment:  Yes  No

Health & Safety:  Yes  No

2.1.1 If "Yes," please provide contact information below.

Name of environmental management representative:	Position / Title:
Address:	Telephone Number:
	Fax Number:
	Email:
Name of occupational health and safety management representative:	Position / Title:
Address:	Telephone Number:
	Fax Number:
	Email:



2.2 Management System Review. Does the company perform a periodic, top-level assessment of the status of environmental and health & safety programs, including: progress toward meeting improvement objectives, results of audits, and completion of corrective actions, in order to identify improvement opportunities?

- Environment:  Yes  No  
Health & Safety:  Yes  No

2.2.1 If "Yes," please indicate how the review is performed, including the review frequency and date of the last review. Check all that apply:

Env. OHS

- Reviews are conducted by the environmental and/or health & safety staff only.  
  Reviews are conducted by the environmental and/or health & safety staff and site management  
  Reviews are conducted by the site management only  
  Reviews are conducted by an outside consultant  
  Reviews are conducted on an as needed basis  
  Reviews are conducted at least annually  
  The review includes an assessment of the site's progress in meeting its objectives and targets  
  The facility establishes specific management system improvement actions as a result of the review, as needed  
  Other. Please describe: \_\_\_\_\_

### B3 Legal and Customer Requirements

*HP's Supplier Code of Conduct* states that HP's suppliers must have an: "identification, monitoring and understanding of applicable laws, regulations and customer requirements."

3.1 Does the facility have a system to track laws and regulations and customer requirements that apply to the operations of the facility?

- Environment:  Yes  No  
Health & Safety:  Yes  No

If "Yes", please indicate how laws and regulations are tracked. Check all that apply:

Env. OHS

- Facility subscribes to electronic or hardcopy services that provide periodic updates  
  Facility uses a consulting service to track regulations and provide periodic reports describing the impact on the facility's operations  
  Facility actively reviews new laws/regulations on at least a quarterly basis  
  The facility obtains information from industry associations  
  The facility obtains information from regulators during site audits/inspections/visits  
  Other. Please describe: \_\_\_\_\_



#### D4 Risk Assessment and Risk Management

*HP's Supplier Code of Conduct* states that HP's suppliers must have a: "Process to identify the environmental, health and safety and labor practice risks associated with Participant's operations. Determination of the relative significance for each risk and implementation of appropriate procedural and physical controls to ensure regulatory compliance and control the identified risks."

4.1 Does the facility have a risk assessment process to identify and evaluate the relative significance of the environmental and health and safety risks of the facility's operations and activities?

Environment:  Yes  No

Health & Safety:  Yes  No

4.1.1 If "Yes", please indicate how environmental and health & safety aspects, impacts and risks are identified and evaluated. Check all that apply:

Env. OHS

- |                          |                          |  |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | A risk assessment was performed once   |
| <input type="checkbox"/> | <input type="checkbox"/> | A risk assessment is performed at least every two years  |
| <input type="checkbox"/> | <input type="checkbox"/> | The risk assessment is updated whenever there are changes in site operations that could impact risk levels             |
| <input type="checkbox"/> | <input type="checkbox"/> | The facility has a formal assessment process, including a documented approach and findings                             |
| <input type="checkbox"/> | <input type="checkbox"/> | Applicable legal and customer requirements are part of the determination of risk                                       |
| <input type="checkbox"/> | <input type="checkbox"/> | The assessment process determines the relative magnitude or significance for each identified risk                      |
| <input type="checkbox"/> | <input type="checkbox"/> | Risks are prioritized by significance  |
| <input type="checkbox"/> | <input type="checkbox"/> | Risks are used as the basis for setting improvement objectives and targets   |
| <input type="checkbox"/> | <input type="checkbox"/> | Risks are used as the basis for establishing operational controls  |
| <input type="checkbox"/> | <input type="checkbox"/> | The risk assessment is performed by facility or company professionals who are expert in the subject they are assessing |
| <input type="checkbox"/> | <input type="checkbox"/> | The risk assessment is performed by an external consultant   |
| <input type="checkbox"/> | <input type="checkbox"/> | Other. Please describe: _____  |

4.2 Has the facility established procedural and physical controls to manage the identified environmental and health & safety risks and ensure regulatory compliance?

Environment:  Yes  No

Health & Safety:  Yes  No

4.2.1 If "Yes", please indicate how the company uses procedural and physical controls to manage the identified environmental, and health & safety risks to ensure regulatory compliance. Check all that apply:

Env. OHS

- |                          |                          |   |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | Prioritized results of the risk assessment are used to determine the need for |
|--------------------------|--------------------------|---|



procedural and/or physical controls.

- Procedural controls (work procedures and processes) are implemented to address environmental and health & safety risks
- Physical controls (environmental control equipment, exhaust ventilation, etc.) are installed to address environmental and health & safety risks
- The company/facility did not identify the need for any procedural controls
- The company/facility did not identify the need for any physical controls
- The company/facility evaluates the effectiveness of controls to verify compliance with regulations.
- The facility does not have a process for evaluating procedural or physical controls for effectiveness.
- Other. Please describe: \_\_\_\_\_

**D5 Performance Objectives with Implementation Plan and Measures**

*HP's Supplier Code of Conduct* states that HP's suppliers must have: "Written performance objectives, targets and implementation plans including a periodic assessment of Participant's performance against those objectives."

5.1 Does the facility have written performance objectives and targets with implementation plans for achieving them?

- Environment:  Yes  No  
 Health & Safety:  Yes  No

5.1.1 Please indicate how the company establishes performance objectives and implementation plans for environment and health and safety. Check all that apply:

- | Env.                     | OHS                      |  |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | The site's significant risks, as determined by the risk assessment, are considered in setting performance objectives |
| <input type="checkbox"/> | <input type="checkbox"/> | Local or national laws and regulations are considered when the facility sets performance objectives                  |
| <input type="checkbox"/> | <input type="checkbox"/> | Customer requirements are considered when the facility sets performance objectives                                   |
| <input type="checkbox"/> | <input type="checkbox"/> | Performance objectives are endorsed or approved by site management.  |
| <input type="checkbox"/> | <input type="checkbox"/> | Each objective has an implementation plan with assigned owners and due dates   |
| <input type="checkbox"/> | <input type="checkbox"/> | Implementation plans have not been established   |
| <input type="checkbox"/> | <input type="checkbox"/> | The facility establishes performance objectives on an annual basis.  |
| <input type="checkbox"/> | <input type="checkbox"/> | Performance objectives and targets are communicated to the facility's workers.                                       |
| <input type="checkbox"/> | <input type="checkbox"/> | Other. Please describe: _____  |

**Please attach a copy of the current set of improvement objectives**





5.2 Does the facility periodically review its progress in achieving its performance objectives and targets?

Environment:  Yes  No

Health & Safety:  Yes  No

5.2.1 If "Yes", please indicate how the company tracks its performance against the established objectives and targets. Check all that apply:

Env. OHS

The facility's management reviews the facility's progress in achieving performance objectives.

The facility modifies its performance objectives and targets as necessary as part of the review process.

The facility reviews its progress in meeting performance objectives on an annual basis.

Other. Please describe: \_\_\_\_\_

## D6 Training

*HP's Supplier Code of Conduct* states that HP's suppliers must have: "Programs for training managers and workers to implement Participant's policies, procedures and improvement objectives."

6.1 Does the facility provide training for managers and workers on how to implement its policies, procedures and improvement objectives?

### Workers:

Environment:  Yes  No

Health & Safety:  Yes  No

6.1.1. If "Yes", please indicate how training is implemented for workers. Check all that apply:

Env. OHS

The facility provides orientation training for new workers that covers essential information applicable to all workers (e.g. emergency procedures, injury reporting, etc.).

The facility provides training about company policies and standards to all workers.

The facility provides training on job-specific hazards and risks

The facility provides job-specific refresher training annually.

Other. Please describe: \_\_\_\_\_

### Managers:

Environment:  Yes  No

Health & Safety:  Yes  No

6.1.2 If "Yes", please indicate how training is implemented for managers. Check all that apply:



Env. OHS

- The facility provides managers the same training that it provides to workers.
- The facility provides managers with additional training specific for manager's responsibilities.
- The facility does not require managers to take environmental and/or health and safety training.
- Other. Please describe: \_\_\_\_\_

## D7 Communication

*HP's Supplier Code of Conduct* states that HP's suppliers must have a: "Process for communicating clear and accurate information about Participant's performance, practices and expectations to workers, suppliers and customers."

7.1 Does the facility communicate information about its performance, practices and expectations to:

7.1.1 Workers:

- Environment:  Yes  No  
Health & Safety:  Yes  No

7.1.2 If "Yes," please indicate the means of communication. Check all that apply:

Env. OHS

- Worker handbooks (and other handouts).
- Notice boards and other postings.
- Communications from managers and supervisors.
- Worker accessible electronic communications (company intranet and email).
- Formal training.
- All communications are made in the workers' native language(s).
- Other. Please describe: \_\_\_\_\_

7.2.1 Customers:

- Environment:  Yes  No  
Health & Safety:  Yes  No

7.2.2 If "Yes," please describe the means of communication. Check all that apply:

Env. OHS

- Correspondence to customer management.
- Annual report or other company publication.
- Training for customers.
- Company extranet.



Other. Please describe: \_\_\_\_\_

### D8 Worker Feedback and Participation

*HP's Supplier Code of Conduct* states that HP's suppliers must have: "...ongoing processes to assess workers' understanding of and obtain feedback on practices and conditions covered by this Code and to foster continuous improvement."

8.1 Does the facility have a process to assess worker understanding of and obtain feedback on practices and conditions covered by this Code to foster continual improvement?

Environment:  Yes  No

Health & Safety:  Yes  No

8.1.1 If "Yes," please describe how the facility assesses worker understanding and obtains their feedback. Check all that apply:

Env. OHS

- Workers take tests to assess knowledge gained from training.
- Workers take competency tests of their skills (e.g. operation of wastewater treatment equipment).
- Workers are asked or invited to complete surveys.
- Suggestion boxes or email addresses are provided to workers for the purpose of obtaining feedback.
- Workers are asked or invited to participate in focus groups.
- Workers are asked or invited to participate on work area inspections.
- Workers are asked or invited to participate on incident investigations.
- Workers are asked or invited to participate on complaint/concern investigations.
- Workers are asked or invited to participate in developing and improving work practices and procedures.
- Other. Please describe: \_\_\_\_\_

### D9 Audits and Assessments

*HP's Supplier Code of Conduct* states that HP's suppliers must have: "Periodic self-evaluations to ensure conformity to legal and regulatory requirements, the content of the Code and customer contractual requirements related to social and environmental responsibility."



9.1 Does the facility's management conduct periodic environmental, and occupational health audits in order to assess conformance to regulatory requirements, the requirements of this Code, and other customer contractual requirements related to environment and health and safety?

Environment:  Yes  No

Health & Safety:  Yes  No

9.1.1 If "Yes," please describe the facility's audit program. Check all that apply:

Regular audits are performed to assess compliance with:

Env. OHS

- Applicable regulatory requirements.
- Customer requirements (e.g., HP Supplier Code of Conduct and the GSE).
- Management system standards, such as ISO 14001 and OHSAS 18001.
- Company management system requirements.
- Company work practices and procedures.
- Other. Please describe: \_\_\_\_\_

Audits are performed using:

Env. OHS

- Company auditors.
- Third party (e.g. consultant, registrar).
- Regulatory agencies (describe): \_\_\_\_\_
- Other. Please describe: \_\_\_\_\_

Frequency of Audits:

Env. OHS

- Annually.
- Other. Please describe: \_\_\_\_\_

#### D10 Corrective Action Process

*HP's Supplier Code of Conduct* states that HP's suppliers must have a: "Process for timely correction of deficiencies identified by internal or external assessments, inspections, investigations and reviews."



10.1 Does the facility have a process to implement timely corrective action for deficiencies identified by internal or external assessments, inspections, investigations and reviews?

Environment:  Yes  No

Health & Safety:  Yes  No

10.1.1 If "Yes," please describe the facility's corrective action process/program by checking all that apply:

The corrective action process addresses issues identified by:

Env. OHS

- |                          |                          |  |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | Audits of the environmental and/or health & safety management system |
| <input type="checkbox"/> | <input type="checkbox"/> | Internal regulatory compliance evaluations.                          |
| <input type="checkbox"/> | <input type="checkbox"/> | Inspections by regulatory agencies.                                  |
| <input type="checkbox"/> | <input type="checkbox"/> | Management reviews.  |
| <input type="checkbox"/> | <input type="checkbox"/> | Incident investigations.   |
| <input type="checkbox"/> | <input type="checkbox"/> | Work area inspections.   |
| <input type="checkbox"/> | <input type="checkbox"/> | Worker complaints.   |
| <input type="checkbox"/> | <input type="checkbox"/> | Other. Please describe: _____  |

The process includes:

Env. OHS

- |                          |                          |  |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | Evaluation of root cause(s).                                     |
| <input type="checkbox"/> | <input type="checkbox"/> | Identification of corrective actions.                            |
| <input type="checkbox"/> | <input type="checkbox"/> | Identification of preventive actions.                            |
| <input type="checkbox"/> | <input type="checkbox"/> | Assignment of owners for each corrective or preventative action. |
| <input type="checkbox"/> | <input type="checkbox"/> | Completion dates.  |
| <input type="checkbox"/> | <input type="checkbox"/> | Tracking of action items to closure.                             |
| <input type="checkbox"/> | <input type="checkbox"/> | Other. Please describe: _____                                    |

## D11 Documentation and Records

*HP's Supplier Code of Conduct* states that HP's suppliers must have: "Creation of documents and records to ensure regulatory compliance and conformity to company requirements along with appropriate confidentiality to protect privacy."

11.1 Does the facility maintain documents and records required to ensure regulatory compliance and conformity to company requirements?

Environment:  Yes  No

Health & Safety:  Yes  No

11.1.1 If "Yes," please indicate which management system documents and records the facility maintains by checking all that apply:



Env.	OHS
<input type="checkbox"/>	<input type="checkbox"/> Audits of the environmental and/or health & safety management system.
<input type="checkbox"/>	<input type="checkbox"/> Internal regulatory compliance evaluations.
<input type="checkbox"/>	<input type="checkbox"/> Risk Assessments.
<input type="checkbox"/>	<input type="checkbox"/> Work practices and procedures.
<input type="checkbox"/>	<input type="checkbox"/> Performance against objectives and targets.
<input type="checkbox"/>	<input type="checkbox"/> Reports of inspections by regulatory agencies.
<input type="checkbox"/>	<input type="checkbox"/> Incident investigations.
<input type="checkbox"/>	<input type="checkbox"/> Work area inspections.
<input type="checkbox"/>	<input type="checkbox"/> Worker complaints.
<input type="checkbox"/>	<input type="checkbox"/> Training records.
<input type="checkbox"/>	<input type="checkbox"/> Corrective Action records.
<input type="checkbox"/>	<input type="checkbox"/> Other. Please describe: _____

## Part B: Health and Safety

"Participants recognize that the quality of products and services, consistency of production and workers' morale are enhanced by a safe and healthy work environment."

### B1. Machine Safeguarding

*HP's Supplier Code of Conduct* states that "Physical guards, interlocks and barriers are to be provided and properly maintained for machinery used by workers."

1.1 Does the facility use machinery that could potentially expose workers to electrical, mechanical, hydraulic and/or pneumatic hazards and cause injury? (Examples of potentially hazardous machinery include: power presses and shears, molding, stamping and sealing machines, conveyors, etc.)

Yes  No

1.1.1 If "Yes," please describe your program or process for providing and maintaining machinery safeguards. Check all that apply:

- The facility conducts a pre-purchase/pre-installation hazard review of all machinery it installs.
- The facility conducts a Job Safety Analysis (task hazard analysis) to identify job-specific hazards.
- Machine operators and/or factory supervisors conduct a daily inspection of machine safeguards.
- Scheduled preventive maintenance of machine safeguards
- Periodic workplace safety inspections
- Other. Please describe: \_\_\_\_\_



## B2. Industrial Hygiene

*HP's Supplier Code of Conduct* states that "Worker exposure to chemical, biological and physical agents is to be identified, evaluated, and controlled. When hazards cannot be adequately controlled by engineering and administrative means, workers are to be provided with appropriate personal protective equipment."

2.1 Does the facility use or produce chemical, biological and/or physical agents in its operations?

- Yes  No

2.1.1 If "Yes," please indicate the potential sources of exposure to workers. Check all that apply:

- Inhalation of airborne emissions from manufacturing processes (e.g. solder fumes, solvent vapors, paint mists, acid mists, etc.)
- Inhalation of airborne emissions from non-manufacturing processes (e.g. fork lift exhaust, water and wastewater treatment chemicals, welding fumes, particulates, etc.)
- Skin contact/absorption of chemicals (e.g. organic solvents, epoxies, plating solutions, etc.)
- Ingestion of toxic materials (e.g. lead, organic solvents, etc.)
- Ionizing and non-ionizing radiation (e.g. x-rays, microwaves, etc.)
- Noise
- Other. Please describe: \_\_\_\_\_

2.2 Has the facility implemented a process to evaluate worker exposure to chemical, physical or biological agents?

- Yes  No

2.2.1 If "Yes," please indicate how exposures are evaluated. Check all that apply:

- The facility has conducted baseline (initial) exposure monitoring/sampling to evaluate exposure levels of biological, chemical, and/or physical agents at the facility.
- The facility conducts routine exposure monitoring/sampling.
- The facility conducts exposure monitoring/sampling in response to worker complaints/requests.
- The facility conducts exposure monitoring/sampling when new chemicals are introduced into the facility's operations or whenever the facility's process modifications could change worker exposure levels.
- Other. Please describe: \_\_\_\_\_



2.3 Has the facility implemented controls to reduce or eliminate worker exposure to chemical, biological and physical agents identified by exposure monitoring/sampling?

- Yes  No

2.3.1 If "Yes," please describe the facility's controls to reduce or eliminate worker exposure to the chemical, biological and physical agents. Check all that apply:

- Substitution of less hazardous chemicals and processes.
- The facility has implemented engineering controls (e.g. local exhaust ventilation, enclosures, etc.) designed to reduce worker exposures to chemical, biological and physical agents.
- The facility has implemented administrative controls (limiting worker exposure time; job rotation, etc.) designed to reduce worker exposures to chemical, biological and physical agents.
- Other. Please describe: \_\_\_\_\_

2.4 Does the facility provide personal protective equipment to workers when workplace exposures to chemical, biological and physical agents cannot be eliminated or controlled by the means listed in 2.3?

- Yes  No

2.4.1 If "Yes," please describe the personal protective equipment program. Check all that apply.

- The facility provides workers with personal protective equipment when engineering or administrative controls are not adequate to maintain exposure levels below legally allowable limits.
- The facility provides training for all workers who use protective equipment regarding the proper fitting, use, maintenance and disposal/replacement of the equipment.
- The company/facility provides the following equipment to workers:
- hearing protection (ear plugs and ear muffs)
  - respiratory protection
  - chemical gloves
  - Other. Please describe: \_\_\_\_\_

### B3. Safety

*HP's Supplier Code of Conduct* states that "Worker exposure to workplace safety hazards (e.g., electrical and other energy sources, fire, vehicles, slips, trips and fall hazards) are to be controlled through proper design, engineering and administrative controls, preventative maintenance and safe work procedures (including lockout/tagout). Where hazards cannot be adequately controlled by these means, workers are to be provided with appropriate personal protective equipment."

3.1 Does the facility have a program to identify, evaluate and control safety hazards (e.g., electrical and other energy sources, fire, vehicles, slips, trips and fall hazards)?

- Yes  No

3.1.1 If "Yes," please describe your procedures to identify, evaluate and control safety hazards to workers. Check all that apply:





- The facility has implemented a Job Safety Analysis program (task hazard analysis) to identify job-specific safety hazards.
- The facility has implemented an electrical safety program and corresponding procedures
- The facility has implemented a lockout-tagout program and corresponding procedures.
- The facility has implemented a forklift safety program and corresponding procedures.
- The facility has implemented a fall protection program (for elevated work areas).
- The facility has implemented a fire safety program (fire detection, alarm and suppression systems)
- The facility has implemented a confined space entry program and corresponding procedures
- The facility conducts preventive maintenance of machinery and equipment to prevent leaks, spills, electrical shock hazards and other safety hazards.
- The facility conducts periodic workplace inspections.
- The facility ensures that unsafe equipment is taken out of service until safety hazards are corrected.
- Other. Please describe: \_\_\_\_\_

3.2 Does the facility provide personal protective equipment to workers when safety hazards cannot be controlled by other means?

- Yes                       No

3.2.1 If "Yes," please describe the safety protective equipment the facility provides to workers. Check all that apply:

- eye protection (safety glasses; safety goggles, and face shields)
- hard hats
- safety shoes (steel-toed shoes)
- protective gloves
- fall protection devices
- Other. Please describe: \_\_\_\_\_

3.2.2 Is training provided for all workers who use protective equipment on the proper fitting, use, maintenance and disposal/replacement of the equipment?

- Yes                       No

#### **B4. Emergency Preparedness and Response**

*HP's Supplier Code of Conduct* states that "Emergency situations and events are to be identified and assessed, and their impact minimized by implementing emergency plans and response procedures, including: emergency reporting, worker notification and evacuation procedures, worker training and drills, appropriate fire detection and suppression equipment, adequate exit facilities and recovery plans."



4.1 Has the facility identified and assessed potential emergency situations?

- Yes  No

4.1.1 If "Yes," please describe how emergency situations such as fire, flood, windstorm, and other potential events are identified and assessed. Check all that apply:

- The facility staff or a consultant has performed a formal assessment of potential emergency situations.  
 The facility uses publicly available emergency situation data for the geographic area  
 Other. Please describe: \_\_\_\_\_

4.2 Has the facility developed and implemented an emergency preparedness and response program to minimize the impact of any potential identified emergency events?

- Yes  No

4.2.1 If "Yes," please describe your emergency preparedness and response program. Check all that apply:

- The facility has implemented procedures for workers to report an emergency.  
 The facility maintains alarms and/or a public address system to notify workers of an emergency.  
 The facility has implemented evacuation and relocation procedures.  
 The facility designs and maintains exit facilities and access to exits in accordance with local legal requirements  
 The facility provides training for workers on emergency procedures.  
 The facility conducts emergency evacuation drills on a regular basis.  
 The facility's business recovery plan has been approved by HP Global Risk Management.  
 Other. Please describe: \_\_\_\_\_

## B5. Occupational Injury and Illness

*HP's Supplier Code of Conduct* states that "Procedures and systems are to be in place to manage, track and report occupational injury and illness, including provisions to: a) encourage worker reporting; b) classify and record injury and illness cases; c) provide necessary medical treatment; d) investigate cases and implement corrective actions to eliminate their causes; and d) facilitate return of workers to work."

5.1 Does the facility have a program to manage occupational injuries and illnesses (including but not limited to: encouraging worker reporting, case recording and investigation, medical treatment, and returning workers to work)?

- Yes  No

5.1.1 If "Yes," please describe your procedures. Check all that apply:

- The facility's management encourages workers to report all work-related injuries and illnesses to the company  
 The facility provides workers with information/training on how to report work-related injuries/illnesses  
 The company/facility keeps a log of work-related injuries and illnesses.



- The company/facility provides workers with medical evaluations and treatment for work-related injuries and illnesses.
- The facility conducts investigations into all work-related accidents and injuries.
- The facility assigns injured workers to their former (or equivalent) job when they are physically able to resume work
- Other. Please describe: \_\_\_\_\_

### B6. Physically Demanding Work

*HP's Supplier Code of Conduct* states that "Worker exposure to physically demanding tasks, including manual material handling and heavy lifting, prolonged standing and highly repetitive or forceful assembly tasks is to be identified, evaluated and controlled."

6.1 Does the company/facility have a program to identify and control worker exposure to physically demanding work, such as manual handling, heavy lifting, highly repetitive assembly, and other physically demanding jobs to prevent work-related injuries?

- Yes  No

6.1.1 If "Yes," please describe your program. Check all that apply:

- The facility conducts formal assessments to identify and evaluate physically demanding jobs and tasks.
- The facility has implemented procedural, physical, or administrative controls put in place to reduce the hazards of physically demanding work.
- Other. Please describe: \_\_\_\_\_

### B7. Dormitory and Canteen

*HP's Supplier Code of Conduct* states that "Workers are to be provided with clean toilet facilities, access to potable water and sanitary food preparation and storage facilities. Worker dormitories provided by the Participant or a labor agent are to be clean, safe, and provide emergency egress, adequate heat and ventilation and reasonable personal space."

7.1 Does the facility provide or contract for dormitory living services for workers?

- Yes  No

7.1.1 If "Yes," how does the facility ensure that the dormitories are kept clean, safe, and maintained in good condition? Check all that apply:

- The facility has written company/facility standards for dormitory services that require:
  - Minimum living space per person
  - Safe drinking water
  - Clean toilet facilities
  - Adequate space for workers to securely store personal belongings
  - Fire detection, alarm and suppression systems and equipment that comply with local codes.
  - Adequate exit facilities that are properly maintained (unblocked and unlocked)
  - Adequate ventilation and heating
- The facility has no formal company/facility standards/requirements for dormitories.
- The facility conducts regular health and safety inspections at all dormitories to evaluate compliance with company standards and legal requirements.



- The facility develops and implements corrective actions for issues identified in inspections of dormitories.
- Other. Please describe: \_\_\_\_\_

7.2 Does the facility provide or contract for canteen or food services for workers?

- Yes  No

7.2.1 If "Yes," how does the facility ensure that canteen food storage and preparation facilities are sanitary and that canteens are clean and safe? Check all that apply:

- The facility has written company/facility standards for canteen services that require:
  - Safe drinking water
  - Clean and sanitary food storage
  - Clean and sanitary food preparation
  - Health standards for food handlers
- The facility has no documented company/facility standards/requirements for canteens
- The facility conducts regular health and safety inspections of canteens to evaluate compliance with company standards and legal requirements.
- The facility develops and implements corrective actions for issues identified in inspections of canteens
- Other. Please describe: \_\_\_\_\_

### Part C: Environmental

"Participants recognize environmental responsibility is integral to producing world class products. In manufacturing operations, adverse effects on the environment and natural resources are to be minimized while safeguarding the health and safety of the public."

#### C1. Product Content Restrictions

*HP's Supplier Code of Conduct* states that "participants are to adhere to all applicable laws and regulations regarding prohibition or restriction of specific substances including name or labeling laws and regulations for recycling and disposal. Participants are also to adhere to processes to comply with each agreed-upon customer-specific restricted and hazardous materials list." This includes product content restrictions defined in *HP's General Specification for the Environment ("GSE")*.  
<http://www.hp.com/go/supplierE>.



1.1 Who in your facility is responsible for managing conformance to the GSE?

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1.1.1 What version of the GSE is the facility using?

- Revision D or earlier
- Revision E
- Revision F
- Revision G
- Revision H
- Revision I
- Don't know
- not using the GSE

1.2 Has your company and/or facility integrated the GSE requirements into your processes?

- Yes     No

1.2.1 If "Yes," please indicate how the GSE requirements are integrated into your operation. Check all that apply:

- The HP GSE requirements are specified on each individual product/component design drawing/specification.
- The HP GSE requirements are specified in material procurement specifications
- The HP GSE requirements are stated in our standard operating procedures
- The facility has no formal documentation or processes for implementing the GSE
- Other. Please describe: \_\_\_\_\_

1.3 How does your program ensure that the parts, components or packaging for the products that your company supplies to HP are in compliance with the GSE? Check all the apply:

- The facility performs random analytical testing of products/components, and the data is available for HP's review
- The facility requires analytical data from its material suppliers/parts suppliers, and the data is available for HP's review
- The facility obtains specifications, statements and/or certificates of conformance from our suppliers and these documents are available for HP's review
- Material suppliers/parts suppliers are audited to ensure compliance with GSE, audit results are available for HP's review
- The facility provides documented requirements for compliance with the HP GSE to its material suppliers/parts suppliers, but no formal process for ensuring compliance exists
- No formal process currently exists for ensuring products comply with the GSE
- Other. Please describe: \_\_\_\_\_



1.4 Have the companies in your company's supply chain (sub-tier suppliers) integrated the requirements of the GSE into their operations?

Yes  No

1.4.1 If "Yes," please indicate how the GSE has been integrated by your suppliers. Check all that apply:

- Informal communication by the company to engineers, designers, manufacturing managers.
- We have incorporated requirements for HP GSE into the formal design specifications for each product/component
- We have Incorporated requirements for HP GSE into materials specifications/design specifications provided to sub-suppliers
- Other. Please describe: \_\_\_\_\_

1.5 How are your company and facilities meeting HP's schedule and requirements for RoHS compliance (Restrictions of Hazardous Substances (RoHS))? See GSE section 3.13. Check all that apply:

- All products provided to HP are currently RoHS compliant
- All products meet HP business timetables for RoHS compliant parts
- The facility has no plans to provide RoHS compliant products at this time
- Products provided from the facility to HP are exempt from RoHS
- Other. Please describe: \_\_\_\_\_

1.6 How do your facilities provide product and materials content data to demonstrate compliance with HP's GSE or the "Material Composition Declaration Guide for Electronic Products"? Check all that apply:

- Signed materials declaration
- Copy of material specifications from suppliers
- Copy of analytical test data
- Copy of quantitative substance list
- Other. Please describe: \_\_\_\_\_

## C2 Chemicals and Hazardous Substances .

*HP's Supplier Code of Conduct* states that "chemical and other materials posing a hazard if released to the environment are to be identified and managed to ensure their safe handling, movement, storage, recycling or reuse and disposal."



2.1 Does the facility use chemical and other hazardous substances which pose a hazard if released to the environment in its operations?

Yes  No

2.1.1 If "Yes", please indicate the types of hazardous materials used. Check all that apply:

- Liquid chemicals, (for example: acids, solvents, paints, etc.)
- Hazardous (toxic, corrosive or flammable) gases
- Hazardous solids (for example: toxic metals, powdered/particulate material)
- Radiation sources
- Other:

2.1.2 In what types of containers are chemicals stored? Check all that apply:

- Drums, carboys, etc. less than 400 liters each
- Large portable containers over 400 liters each
- Above ground bulk storage tanks
- Underground storage tanks
- Compressed gas cylinders
- Other: \_\_\_\_\_

2.2 Does the facility have written emergency response plans in the event of a release of a chemical or material which would pose a hazard to the environment?

Yes  No

2.2.1 If "Yes," please indicate what elements the plan includes and complete 2.2.2. Check all that apply:

- Evacuation procedures
- Identification and assessment of release hazards (e.g. spills and leaks)
- Qualification and training of emergency responders (e.g. spill response teams)
- List of emergency response equipment
- Who to contact in the event of a release
- Procedures for control and containment of hazards
- Procedures for proper use of personal protective equipment
- Procedures for proper clean-up and disposal of released materials
- Decontamination procedures
- Reporting requirements
- Other. Please describe: \_\_\_\_\_

2.2.2 Do workers involved in the control, clean-up and disposal of hazardous materials receive regular training on emergency response plans and actions?

Yes  No



### C3 Wastewater and Solid Waste

*HP's Supplier Code of Conduct* states that "wastewater and solid waste generated from operations, industrial processes and sanitation facilities are to be monitored, controlled and treated as required prior to discharge or disposal."

#### 3.1 Does the facility generate industrial wastewater?

- Yes  No

3.1.1 If "Yes," please indicate how waste water is managed. Check all that apply:

- The facility treats wastewater onsite and discharges the treated wastewater to a municipal treatment system
- The facility treats wastewater onsite and discharges the treated wastewater to the ground or a waterway
- The facility discharges wastewater to a municipal treatment system (no onsite treatment)
- The facility discharges wastewater to the ground or a waterway (no onsite treatment)
- The facility collects waste water and transfers it to a waste vendor
- Other. Please describe: \_\_\_\_\_

#### 3.2 Does the facility generate solid waste from operations?

- Yes  No

3.2.1 If "Yes," please indicate the types of waste and how they are managed. Check all that apply:

- Waste paper and cartons
- Scrap metals
- Plastic
- Foam
- General/miscellaneous waste, including food waste
- Other materials. Please describe: \_\_\_\_\_
- Solid waste is hauled off site by a vendor who sorts it for recycling, reuse or disposal.
- The facility sorts solid waste by type and sends recyclable materials to an offsite vendor for reuse and recycling.
- The facility does not recycle solid waste. It is hauled off site by a waste vendor for disposal.
- Other. Please describe: \_\_\_\_\_

### C4 Air Emissions

*HP's Supplier Code of Conduct* states that "Air emissions of volatile organic chemicals, aerosols, corrosives, particulates, ozone depleting chemicals and combustion by-products generated from operations are to be characterized, monitored, controlled and treated as required prior to discharge."





4.1 Does the facility generate emissions to air?

- Yes  No

4.1.1 If "Yes," please indicate how air emissions are managed. Check all that apply:

- The facility has no exhaust ventilation systems designed to capture emissions; emissions are released into general room air
- The facility has exhaust ventilation systems designed to capture emissions and discharge to outside air
- The facility has exhaust ventilation systems designed to capture emissions and pollution treatment systems (i.e. scrubbers, catalytic removal, thermal oxidation, etc.) which remove emissions before discharging.
- Other. Please describe: \_\_\_\_\_

### C5 Environmental Permits and Reporting

*HP's Supplier Code of Conduct* states that "All required environmental permits (e.g., discharge monitoring) and registrations are to be obtained, maintained and kept current and their operational and reporting requirements are to be followed."

5.1 Please check below the status of environmental permitting at your facility:

- Site operations do not require any environmental permits.
- Site operations are in the process of obtaining environmental permits
- Site operations have obtained environmental permits.

5.1.1 List all facility environmental permits: \_\_\_\_\_

5.1.2 Site operations are in compliance with all monitoring, reporting and other permit requirements based on:

- internal monitoring and assessments
- independent third-party assessments
- regulatory agency reviews/inspections

5.1.3 Site operations have identified areas of non-compliance with permit requirements based on:

- internal monitoring and assessments
- independent third-party assessments
- regulatory agency reviews/inspections

5.1.4 Describe any identified non-compliances: \_\_\_\_\_  
\_\_\_\_\_

### C6 Pollution Prevention and Source Reduction

*HP's Supplier Code of Conduct* states that "Waste of all types, including water and energy, are to be reduced or eliminated at the source or by practices such as modifying production, maintenance and facility processes, materials substitution, conservation, recycling and re-using materials."



6.1 Does the facility maintain a program and/or procedures to reduce or eliminate pollution and waste, including the use of water and energy?

- Yes  No

6.1.1 If "Yes," please indicate what aspects are included in your plan. Check all that apply:

- Source reduction of hazardous and/or non-hazardous materials (reducing the type and amount of materials used in manufacturing processes and/or facility operations)
- Minimization of hazardous and/or non-hazardous waste
- Reduction of air emissions
- Water conservation
- Energy conservation
- Other. Please describe: \_\_\_\_\_

**Thank you for completing this questionnaire. Please email your completed questionnaire and attachments to [lindsey.ridgeway@hp.com](mailto:lindsey.ridgeway@hp.com) with a copy to your assigned HP Commodity Manager/Supplier Relationship Manager.**