

confidential

ต้นฉบับ

2022 RBA Survey Explained

April 2022

Canon Inc.

Procurement Headquarters

Canon

In December 2019, Canon Inc. participated in the Responsible Business Alliance (RBA), an alliance of businesses on CSR.

Accordingly, you are now cordially asked to sign an agreement / letter of consent and to fill in a questionnaire based on standards RBA set.

※An agreement/letter of consent: If you submitted the consent form by last year, we will ask you to agree to the letter of consent again.

This document is to explain what they are and how they should be processed .

Thank you very much in advance for your understanding and cooperation.

1. About the RBA
 - 1.RBA Overview
 - 2.RBA Code of Conduct (Ver.7.0)
- 2.About an Agreement/letter of consent
(Suppliers who have not submitted an agreement/letter of consent by last year)
 - 1.Request for an agreement/letter of consent
3. About the survey-SAQ 2022
 - 1.How SAQ works
 - 2.SAQ coverage
 - 3.Facility SAQ scope
 - 4.Survey Method
 - 5.Answer Method
 - 6.Changes from 2021 SAQ
- 4.Schedule
 - 1.2022 activity schedule

1. About the RBA

1 – ① RBA Overview

1. Name	RBA (the Responsible Business Alliance)
2. Background	<p>EICC (Electronic Industry Citizenship Coalition) was set up in 2004 for the purpose of enhancing CSR activities of electronics industry by makers of electric/electronic devices</p> <p>The name was changed to RBA in 2017 businesses as car makers, logistics etc. participated in.</p>
3. Activities	<p>Providing third party assessment framework and tools for audit of humanitarian and sound management of the corporations in compliance with the RBA-set the code of conduct on Labor, Safety & Hygiene, Environment, Ethics and Management System.</p>
4. Headquarters	Virginia, USA
5. No. of participants	187 (As of Dec. 2021)
6. No. of Japanese participants	<p>18</p> <p>Sony (2004), SMIC (Jan. 2011), Toshiba (Jun. 2011), Konica-Minolta (Oct. 2013), Tokyo Electron (Jun. 2015), Fujitsu (Mar. 2017), Nikon (May 2018), Brother (Jan. 2019), Epson (Apr. 2019), Funai (May 2019), Ricoh (Nov. 2019), Canon(Dec. 2019), EIZO (Feb. 2020), Sumitomo Electric (Feb. 2020), TDK(Mar. 2020) , Renesas(Apr. 2021),KIOXIA(Jul. 2021), Panasonic</p>

1 – ① RBA Overview

Questionnaire

- Use a tool supplied by RBA, namely SAQ, to check if management is carried out as humane & sound as stipulated in RBA code of conduct.



- SAQ fill-in for Canon and its primary suppliers

SAQ (Self Assessment Questionnaire) is used by **RBA members** to survey their factories' and **suppliers' risks** to precede audit*.

- Participants sort SAQ results (risk) into three categories by score rate.
Audit sites / facilities with HIGH scores down.

- HIGH 65% or less
- MID 65-85%
- LOW 85% or more

- The more NO's, the likelier the audit.

*Audit will be done by a third party with RBA certification

1 – ③ RBA Code Of Conduct(Ver.7.0)

RBA code of conduct is:

Code of conduct RBA set for its participants, and standards are set for the following :

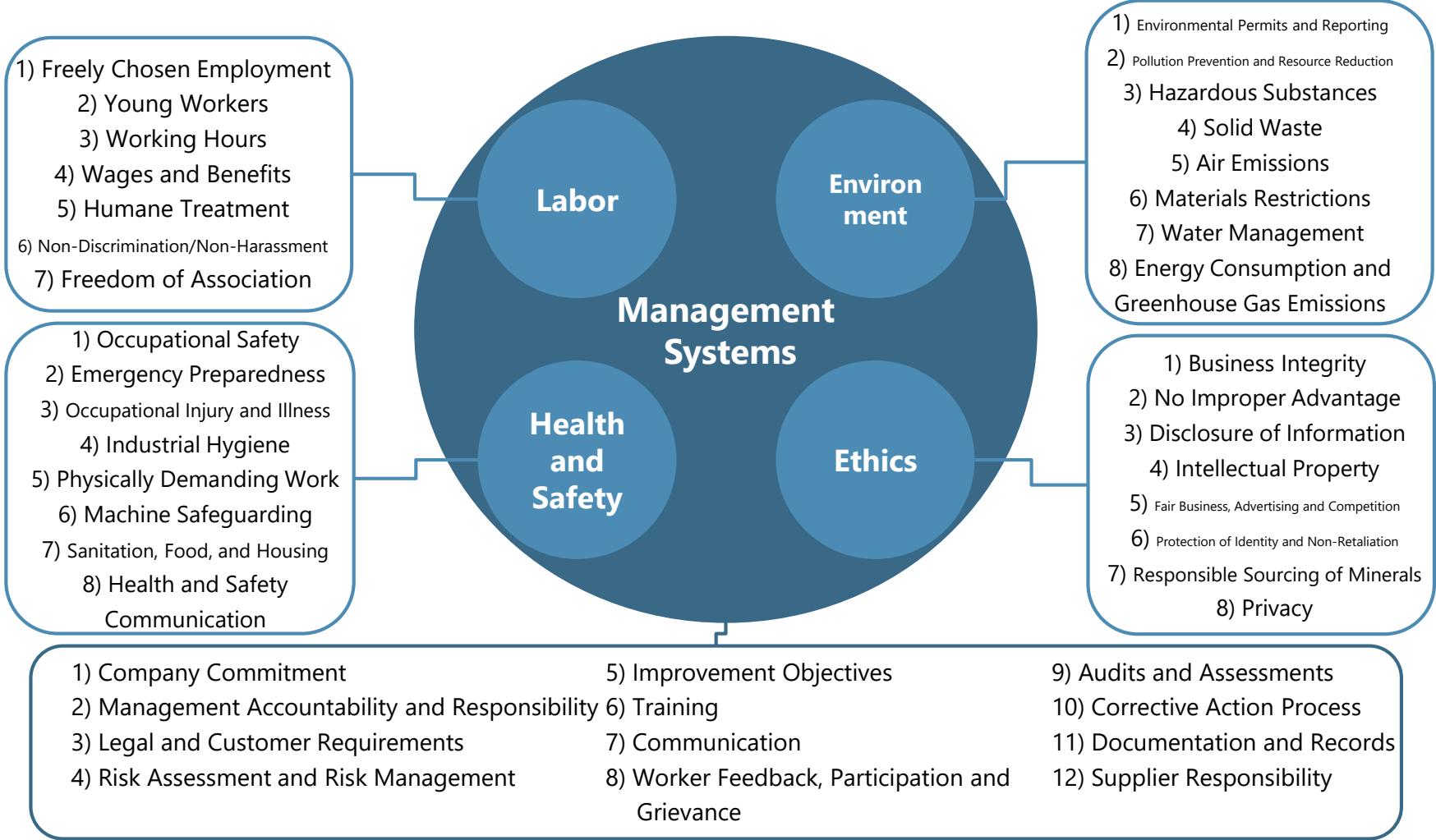
- Labor : Treat workers with dignity and respect
 - Health and safety : Enhance work environment with health and safety
 - Environment : Recognize environmental responsibility
 - Ethics : Meet social responsibility and succeed in the marketplace
- ✕At a minimum, Participants shall also require its next tier suppliers to acknowledge and implement the Code.

Oversight of the code

The Code is made up of five sections. Sections A, B, and C outline standards for Labor, Health and Safety, and the Environment, respectively. Section D adds standards relating to business ethics; Section E outlines the elements of an acceptable system to manage conformity to this Code.

1 – ② RBA Code Of Conduct Summary

RBA Code Of Conduct



2. About an agreement/letter of consent

2 – ① Request for an agreement/letter of consent

SA-X-098-01-17/05/65

10

Request

Target Supplier :

Suppliers who have not submitted a letter of consent by last year

(Suppliers who submitted a consent form by last year are not eligible.)

Read the RBA code of conduct thoroughly, sign the 'agreement concerning RBA code of conduct' (We attach Ver.7.0)

and send it back to your Canon RBA survey contact by June 30th, 2021 .

The agreement is addressed to Canon Inc.

Person in charge of CSR is the signer.

3. About the survey-SAQ 2022

3 – ①How SAQ works

- SAQ consists of questions to test the following three aspects for RBA code of conduct standards
 - ①Written policy
 - ②Written procedures for confirmation of action
 - ③Procedures exercised or not
- Each question is weighed by importance (risk) involved, and scores are different with the answers chosen.
- Questions may vary according to the previous answers, so does the number of them. Number of questions may vary from facility to facility.
- If you lose a question for a risk, you may win another by coping with it.
- SAQ may repeat similar questions in order to specify risks.



**Evaluation = Score rate(%) : score for the answered questions
/full score for the answered questions**

3 – ②SAQ Coverage

- There are two kinds of SAQ's :
 - Corporate SAQ(for offices)
 - Facility SAQ(for manufacturing sites)

Facility SAQ is applicable for suppliers

- Facility SAQ covers
 - ① direct workers (blue-collared) of production in the shop (no supervisors, office workers nor brain workers)
 - ② indirect workers (e.g. temporary) in the shop (security, canteen, janitorial etc.)
 - ③ workers in all areas including sites other than the shop (canteen, dorms etc.)

and tests in the perspective of

Labor, Health & Safety, Environment, Ethics, Management Systems

as stipulated in RBA code of conduct.

3 – ③ Facility SAQ Scope

■ Survey Scope

• Facility where work/product for Canon is done/made.
where the primary supplier who Canon asked the survey is

① a trader

maker's facility where work/product for Canon is done/made

② a trader as well as a maker

facility or the maker's factory where work/product for Canon is done/made

*Please reply to the factory that answered in 2021.

and if there are many factories to newly covered, the primary supplier is left discretion of choosing a facility / Allow at major facility.

■ Deadline

• June 30th, 2022

*If you have more than one facility to answer,
please submit answers from each facility in order.

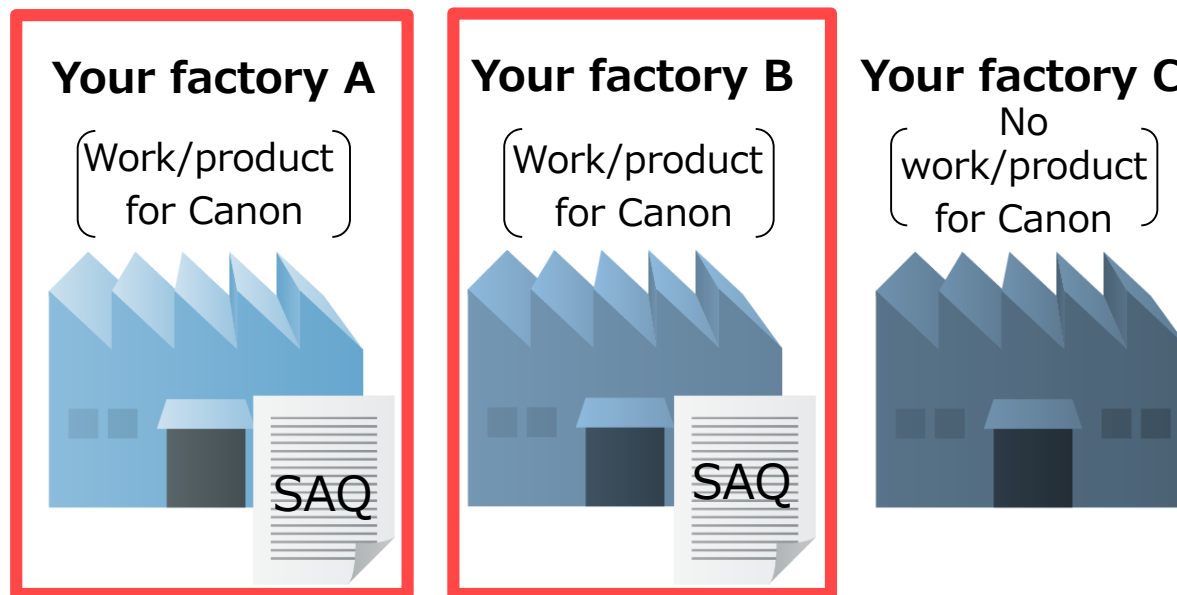
3 – ③ Facility SAQ Scope

Scope of Facility SAQ(1/3)

If you are a maker, fill in one SAQ for each facility

*choose facilities with works/products for Canon

☐ in scope



Fill in one SAQ each for facilities A&B.

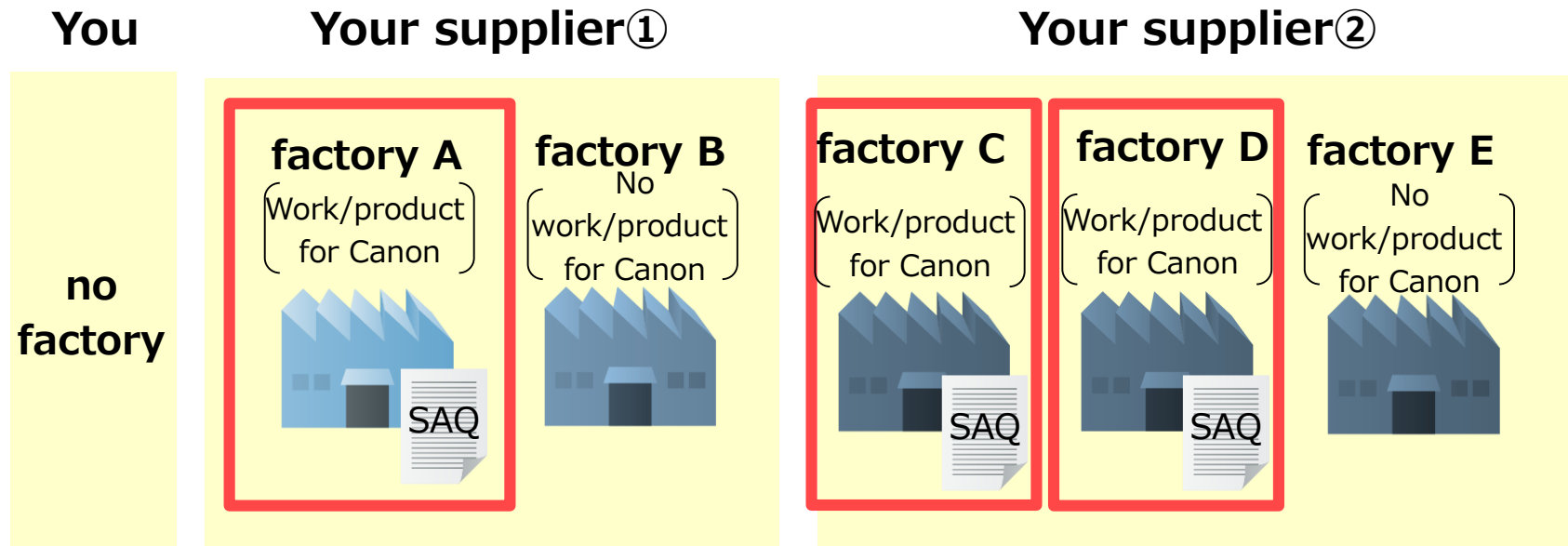
3 – ③ Facility SAQ Scope

Scope of Facility SAQ(2/3)

①if you are a trader, fill in one SAQ for each factory of your supplier

*choose factories with works/products for Canon

 in scope



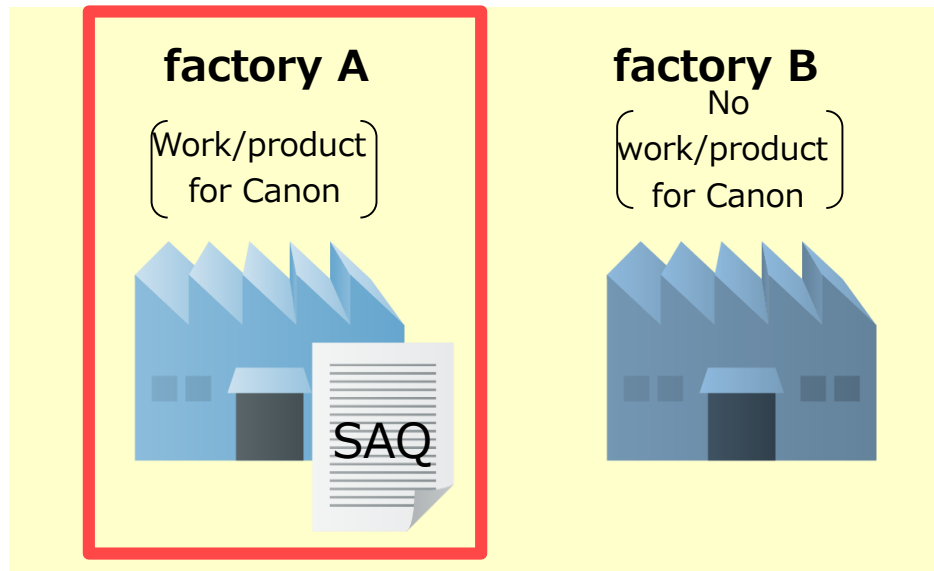
3 – ③ Facility SAQ Scope

Scope of Facility SAQ(3/3)

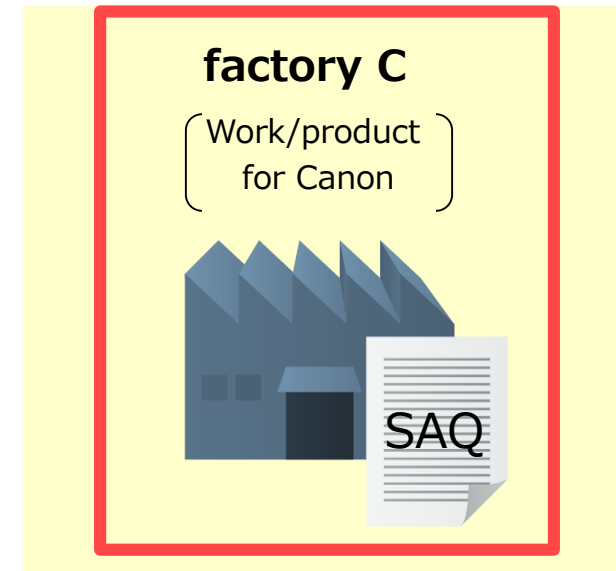
- ②if you are both maker and trader, fill in one SAQ for each of your facility and your supplier's facility
- * choose facilities with works/products for Canon

 in scope

You



Your Supplier



Fill in one SAQ each for factories A&C.

■ In 2022, as in 2021, There are 2 methods of survey.

1. EXCEL

2. RBA online

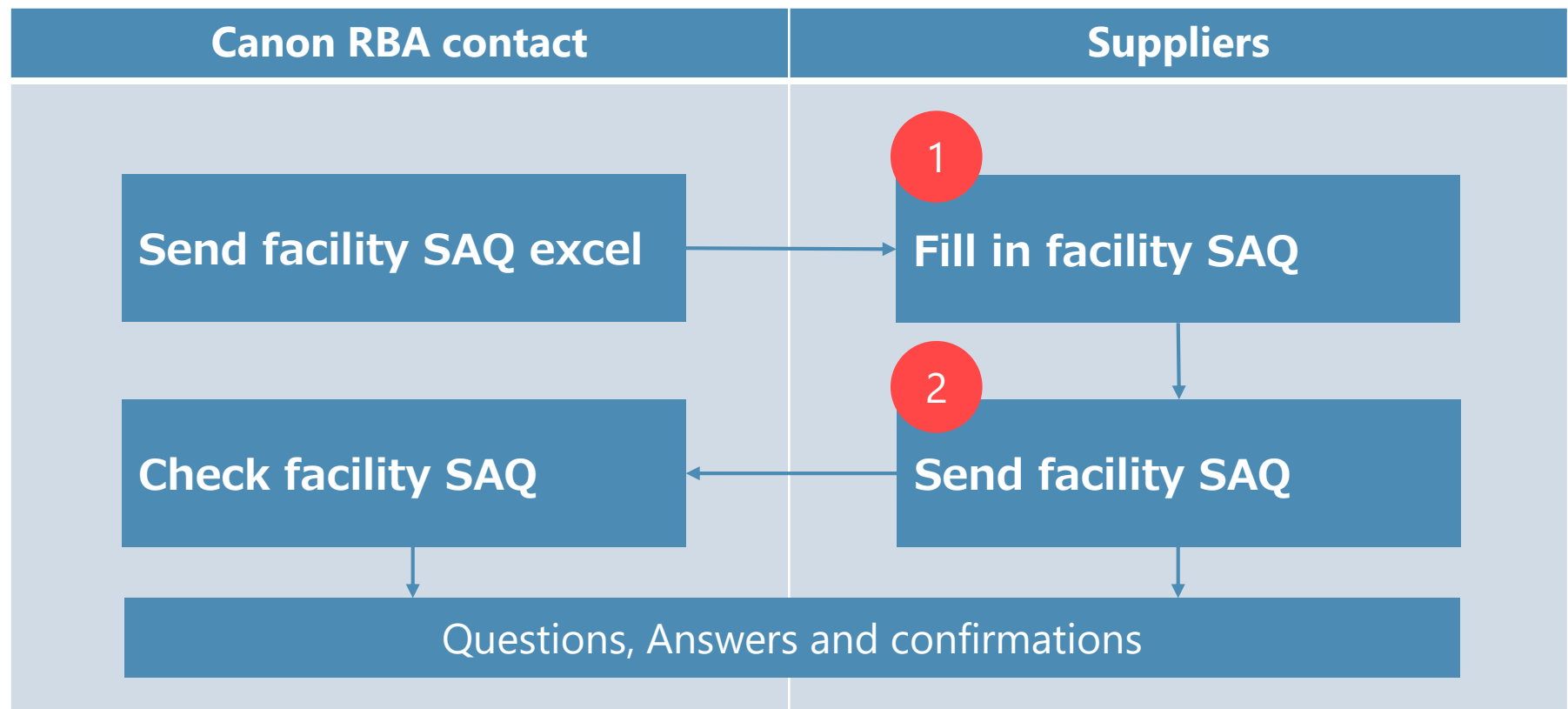
Both are to be explained.

3 – ⑤ Answer Method

Excel(1/5)

1.EXCEL

Fill in the attached Facility SAQ excel and send it back to your Canon RBA contact.



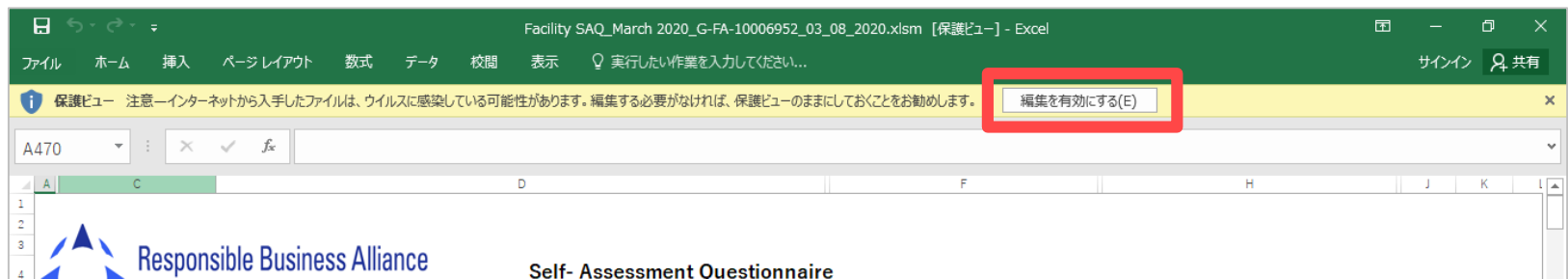
① ~ ② See the next page on for details

3 – ⑤ Answer Method

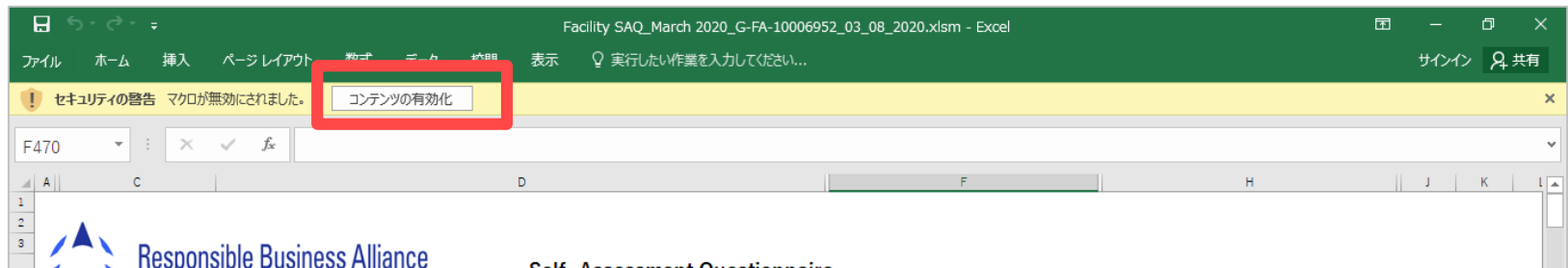
Excel(2/5)

1 Fill facility SAQ by facility/site

1. Open facility SAQ excel your Canon RBA contact sent you
File Name : **SAQ_2022_jp.xlsm** or **SAQ_2022_en.xlsm** or **SAQ_2022_zh.xlsm**
2. Enable Edit if you are prompted.



3. Enable Content if you are prompted.



4. **Wait until the start-up macro finishes.**

3 – ⑤ Answer Method

Excel(3/5)

1 Fill facility SAQ by facility/site

5. Fill in the company and facility/site name.

Facility SAQ_March 2020_G-FA-10006948_03_04_2020 jp.xlsm - Excel

ファイル ホーム 挿入 ページレイアウト 数式 データ 校閲 表示 実行したい作業を入力してください... 023743 共有

貼り付け グループボード フォント 配置 数値 スタイル セル 編集

C7

Responsible Business Alliance
Advancing Sustainability Globally

Self- Assessment Questionnaire

Company Name :
Facility Name :

Core SAQ Type : Facility SAQ

Core SAQ Version : March 2020

Note: Please answer in column F

General Facility Info			
FI - Facility Information & Contact			
FI1.1	事業所名:		
FI1.2	事業所の住所:		
FI1.3	市区町村以下の住所:		
FI1.4	施設都市:		
FI1.5	都道府県:		
FI1.6	国:		
FI1.7	郵便番号:		

1 Fill a facility SAQ for a factory/a site

6. Answer the questions.

Use column F for the answers.

See column H for original explanation by RBA.

- for reference, visit
RBA <http://www.responsiblebusiness.org/>
- check also attached SAQ excel check list

2 Fill facility SAQ by factory/site

Send the filled in facility SAQ to your Canon contact.
【Please】

- See that all the necessary items are filled in.
- **Do NOT change file extension of xlsx.**

Your inquiries should be addressed to your Canon contact.

Also, your Canon contact may send inquiries on your output.

2.RBA online

① If already registered on RBA online,
please share the completed Facility SAQ with Canon.

② If yet to do so, register on RBA online.

* Fees are to be borne by you per registered facility.

Please complete and share with Canon the Facility SAQ.

* The RBA online SAQ has a traditional SAQ and a new one,
but you can choose to answer either.

[Canon share ID]

Canon, Inc.

ID : G-CO-10007978

Reference : ZC527848397

➡ When it is published, please contact the request desk.

Please let us know the name of the facility that answer SAQ.

※ Please note that the following is a different company.

Canon ID:G-CO-10004859 / Reference:ZC0004851

3 – ⑥ Changes from 2021 SAQ (Japanese)

Changed question : details (4 questions) 2/2

No.	Questions	Changes
FC 1.14c	What is the procedure to remove young workers from working, and provide assistance and remedy ? ➡ What is the procedure to remove children from working, and provide assistance and remedy ?	young workers → children
FLBC 1.20a	Is all overtime (outside of the CBA) voluntary? ➡ Is all overtime (outside of the Collective Bargaining Agreement or CBA) voluntary?	CBA → Collective Bargaining Agreement or CBA) Added "Collective Bargaining Agreement"

3 – ⑥ Changes from 2021 SAQ (Japanese)

Changed question : details (4 questions) 2/2

No.	設問	補足
FHSR 1.4b	<p>List the ingredient names and Chemical Abstracts Service (CAS) Registry Numbers</p> <p>➡</p> <p>List the ingredient names and Chemical Abstracts Service (CAS) Registry Numbers.</p>	<p>Numbers → Numbers.</p> <p>(Added “.”)</p>
FENR 1.6a	<p>Does your facility use any hazardous materials with a high hazard (e.g. Hazard Severity of 4 or 3) in volumes that require storage or use permits?</p> <p>➡</p> <p>Does your facility use any hazardous materials with a high hazard (e.g. Hazard Severity of 4 or 3 per local fire or building codes) in volumes that require storage or use permits?</p>	<p>(e.g. Hazard Severity of 4 or 3) → (e.g. Hazard Severity of 4 or 3 per local fire or building codes)</p> <p>Added “per local fire or building codes”</p>

3 – ⑥ Changes from 2021 SAQ (English)

Changed question : details (11 questions) 1/2

No.	Questions
FC 1.14c	<p>What is the procedure to remove young workers from working, and provide assistance and remedy ?</p> <p>➡</p> <p>What is the procedure to remove children from working, and provide assistance and remedy ?</p>
FLBC 1.5	<p>Does your facility adhere to a written LABOR policy (or statement of commitment) endorsed by senior management that includes all the RBA Code LABOR elements: Freely Chosen Employment, Child Labor Avoidance, Working Hours, Wages & Benefits, Humane Treatment, Non-Discrimination and Freedom of Association?</p> <p>➡</p> <p>Does your facility adhere to a written LABOR policy (or statement of commitment) endorsed by senior management that includes all the RBA Code LABOR elements: Freely Chosen Employment, Child Labor Avoidance, Working Hours, Wages & Benefits, Humane Treatment, No Violence, Non-Discrimination and Freedom of Association?</p>
FLBC 1.32	<p>Has your facility implemented procedures for prevention of harassment, coercion, threatening behavior, physical abuse or punishment, sexual abuse, or verbal abuse towards workers?</p> <p>➡</p> <p>Has your facility implemented procedures for prevention of harassment, coercion, threatening behavior, physical abuse or punishment, sexual abuse, violence (including gender-based violence), or verbal abuse towards workers?</p>
FLBC 1.20a	<p>Is all overtime (outside of the CBA) voluntary?</p> <p>➡</p> <p>Is all overtime (outside of the Collective Bargaining Agreement or CBA) voluntary?</p>
FHSR 1.4a	<p>How many workers have access or are routinely exposed, at any level, to the Toxics per GHS (Acute, Carcinogenicity, Germ Cell Mutagenicity, Reproductive, Target Organ, or Aspiration) for operations or production (e.g. exclude lab use)?</p> <p>➡</p> <p>How many production workers handle GHS classified hazardous chemicals (Physical and Health) for operations or production (e.g. exclude lab use)?</p>
FHSR 1.4b	<p>List the technical names and CAS Registry Numbers of the Toxics per GHS.</p> <p>➡</p> <p>List the ingredient names and Chemical Abstracts Service (CAS) Registry Numbers.</p>

3 – ⑥ Changes from 2021 SAQ (English)

Changed question : details (11 questions) 1/2

No.	Questions
FHSR 1.26	<p>Does your facility allow workers to freely leave the facility or housing area while off shift?</p> <p>➡</p> <p>Does your facility allow workers to freely leave the facility, living quarters, or housing area while off shift?</p>
FHSR 1.27	<p>Does your facility impose a curfew on workers living in this housing?</p> <p>➡</p> <p>Does your facility impose a curfew on workers living in this housing, or their living quarters?</p>
FENR 1.5a	<p>Does your facility store and/or use Toxics per GHS (Acute, Carcinogenicity, Germ Cell Mutagenicity, Reproductive, Target Organ, or Aspiration) for operations or production (e.g. exclude lab use)?</p> <p>➡</p> <p>Does your facility store and/or use Globally Harmonized System of Classification and Labelling of Chemicals (GHS) classified hazardous chemicals (Physical and Health) for operations or production (e.g. exclude lab use)?</p>
FENR 1.6a	<p>Does your facility use any hazardous materials with a high hazard (e.g. Hazard Severity of 4 or 3) in volumes that require storage or use permits?</p> <p>➡</p> <p>Does your facility use any hazardous materials with a high hazard (e.g. Hazard Severity of 4 or 3 per local fire or building codes) in volumes that require storage or use permits?</p>
FENR 1.6b	<p>List the technical names and CAS Registry Numbers of high hazard materials (e.g. Hazard Severity of 4 or 3) in volumes that require storage or use permits:</p> <p>➡</p> <p>List the ingredient names and CAS Registry Numbers of high hazard materials (e.g. Hazard Severity of 4 or 3 per local fire or building codes) in volumes that require storage or use permits</p>

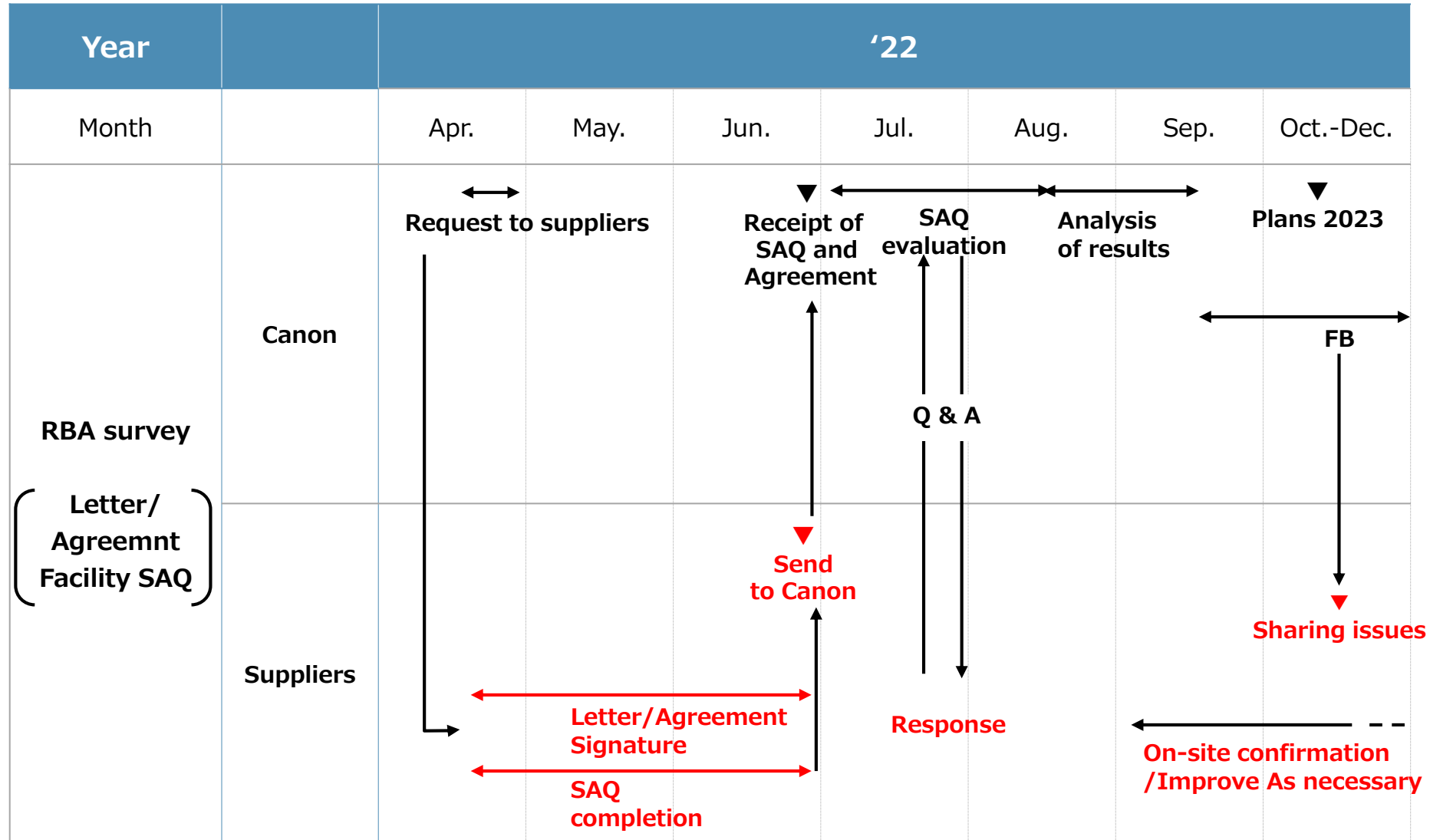
3 – ⑥ Changes from 2021 SAQ (Chinese)

Changed question : details (5 questions) 1/1

No.	Questions
FI1.8	<p>联系人电话号码</p> <p>➡</p> <p>请选择主要提供物</p>
FC 1.14c	<p>What is the procedure to remove young workers from working, and provide assistance and remedy ?</p> <p>➡</p> <p>What is the procedure to remove children from working, and provide assistance and remedy ?</p>
FLBC 1.20a	<p>Is all overtime (outside of the CBA) voluntary?</p> <p>➡</p> <p>Is all overtime (outside of the Collective Bargaining Agreement or CBA) voluntary?</p>
FHSR 1.4b	<p>List the ingredient names and Chemical Abstracts Service (CAS) Registry Numbers</p> <p>➡</p> <p>List the ingredient names and Chemical Abstracts Service (CAS) Registry Numbers.</p>
FENR 1.6a	<p>Does your facility use any hazardous materials with a high hazard (e.g. Hazard Severity of 4 or 3) in volumes that require storage or use permits?</p> <p>➡</p> <p>Does your facility use any hazardous materials with a high hazard (e.g. Hazard Severity of 4 or 3 per local fire or building codes) in volumes that require storage or use permits?</p>

4. Schedule

4 – ① 2022 survey schedule



End