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2021 RBA Survey Explained

April 2021

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 last year, you don't need to submit it.

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 are participating in the RBA survey for the first time or have not submitted an agreement/letter of consent last year)

1.Request for an agreement/letter of consent

3. About the survey-SAQ 2020

1.How SAQ works

2.SAQ coverage

3.Facility SAQ scope

4.Survey Method

5.Answer Method

6.Changes from 2020 SAQ

4.Schedule

1.2021 activity schedule

1. About the RBA

- | | |
|---------------------------------|--|
| 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 | 163 (March 2021) |
| 6. No. of Japanese participants | <p>15</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)</p> |

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 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

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.

■ Key points of this revision

Reflecting what has already been done in the VAP audit

Consistency with international norms such as the Montreal Protocol and OECD due diligence guidance

Other, often rhetorical fixes (Comma, singular/plural, article, etc.)

■ Operation

- Enforced in January 2021

- At the same time, VAP audits based on the new Code of Conduct (Edition 7) began.

- Closure audits of VAP audits in 2021 will be performed in version 6

■ Related Files

RBA Code Of Conduct 7.0

<http://www.responsiblebusiness.org/code-of-conduct/>

■ Labor

A-1) Freely Chosen Employment

- Subagents added to managed "Employers and agents ..." for management of personal documents and collection of recruitment fees

{ Additional Items }

- Dormitory management companies and other personnel management contractors
- Commissioned agents, etc. of the sending country of foreign workers

■ Environment

C-8) Energy Consumption and Greenhouse Gas Emissions

- Added setting of company targets and disclosure of reduction status.
 - Publication on the Web, CSR and environmental reports, etc.
 - Suppliers are required to set targets at the company level, not at the factory level, if requested.
- Removing "cost-effective" on methods

■ Ethics

D-7) Responsible Sourcing of Minerals

- Conduct due diligence based on OECD guidance
- Due diligence is voluntary and not customer-requested.
- The target countries are not limited to neighboring countries of the Democratic Republic of the Congo.

■ Others

Clarify that notification mechanisms such as "complaint handling mechanism" and "Report of health and safety concerns" can be used without fear of retaliation.

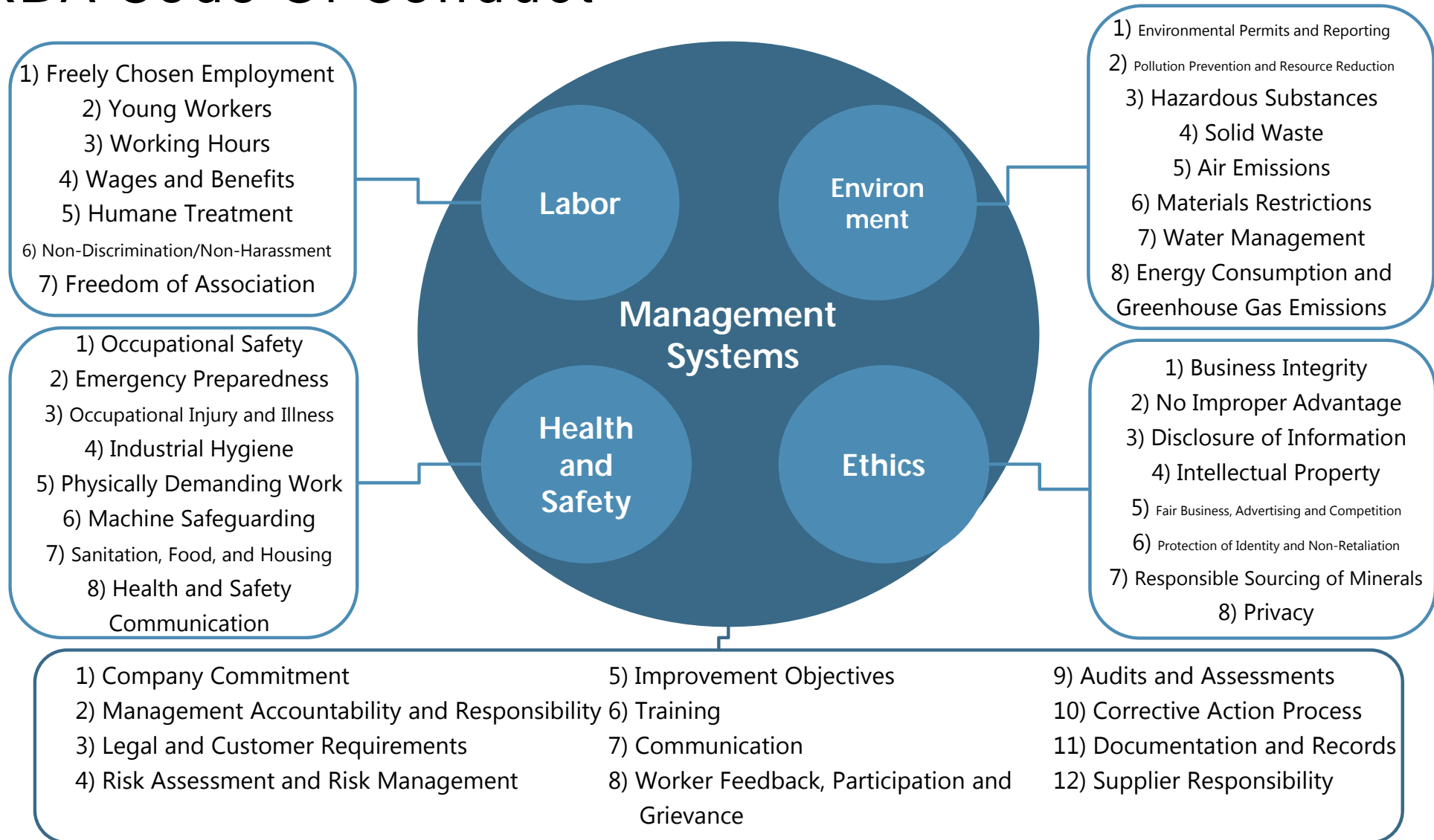
B-8) Health and Safety Communication

E-8) Worker Feedback, Participation and Grievance

- Don't just have a call window.
- Need to report in bearer form, disclose actual number of reports, prove "be safe to use"

1 - RBA Code Of Conduct Summary

RBA Code Of Conduct



2. About an agreement/letter of consent

2 - Request for an agreement / letter of consent

Please :

(Suppliers who have already submitted a consent form in the 2020 survey 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

2021

- SAQ consists of questions to test the following three aspects for RBA code of conduct standards
 - Written policy
 - Written procedures for confirmation of action
 - Procedures 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

■ 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

direct workers (blue-collared) of production in the shop
(no supervisors, office workers nor brain workers)

indirect workers (e.g. temporary) in the shop
(security, canteen, janitorial etc.)

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.

Survey Scope

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

- a trader

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

- a trader as well as a maker

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

- * Please reply to the factory that answered in 2020.

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

Deadline

- June 30th, 2021

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

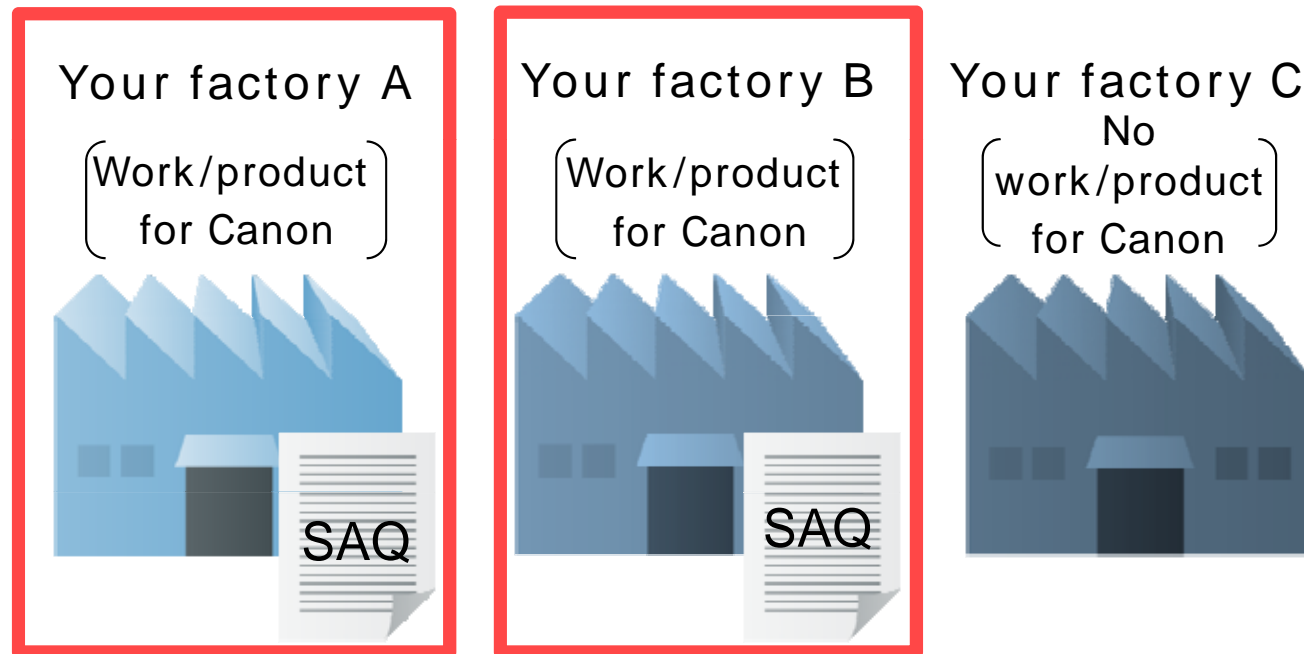
3 - Facility SAQ Scope

Scope of Facility SAQ(1 / 3)

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

*choose factories with works/products for Canon

☐ in scope



Fill in one SAQ each for factories A&B.

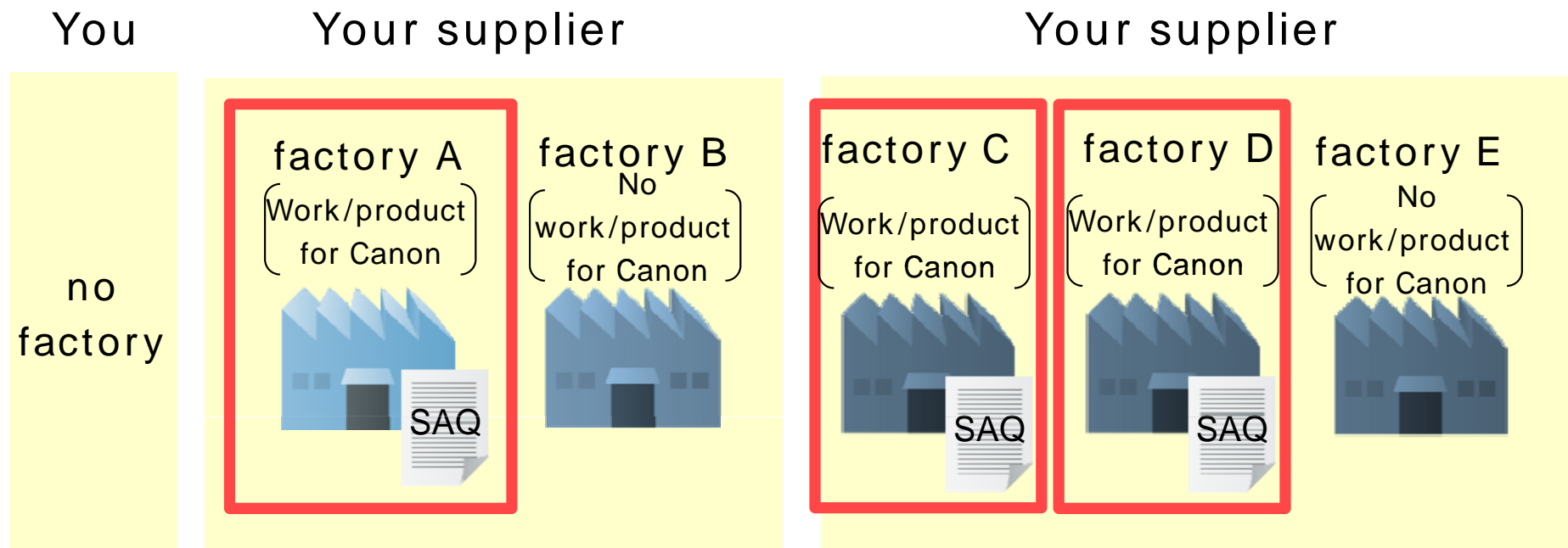
3 - Facility SAQ Scope

Scope of Facility SAQ(2 / 3)

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

*choose factories with works/products for Canon

 in scope



3 - Facility SAQ Scope

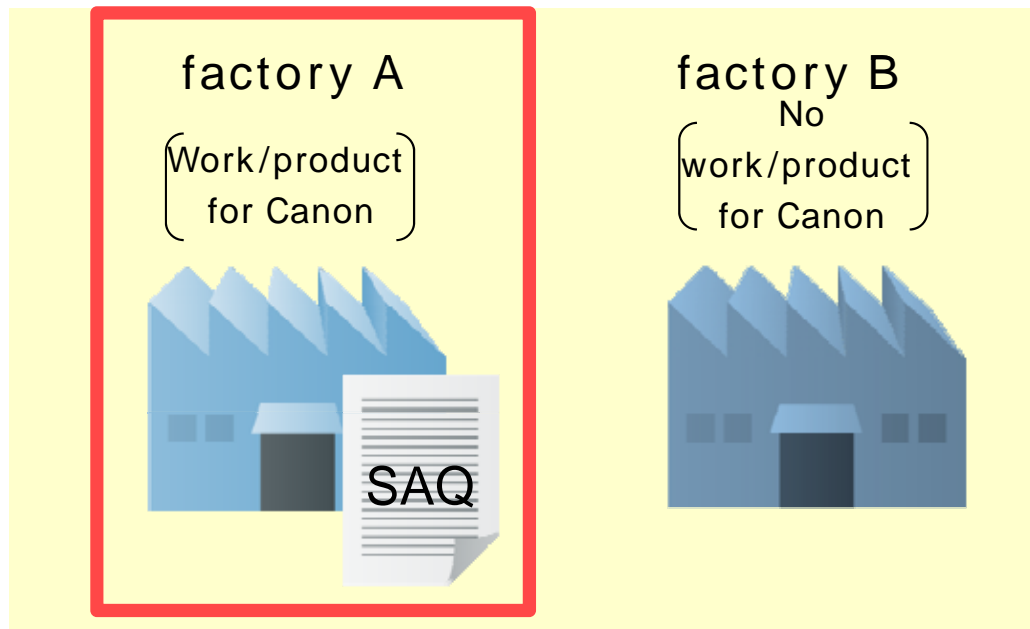
Scope of Facility SAQ(3/3)

if you are both maker and trader, fill in one SAQ
for each of your factory and your supplier s factory

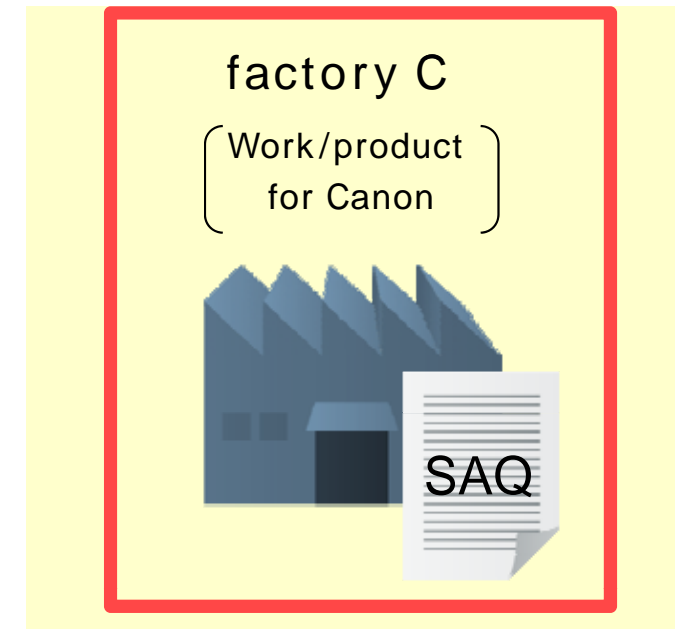
* choose factories with works/products for Canon

 in scope

You



Your Supplier



Fill in one SAQ each for factories A&C.

In 2021, as in 2020, There are 2 methods of survey.

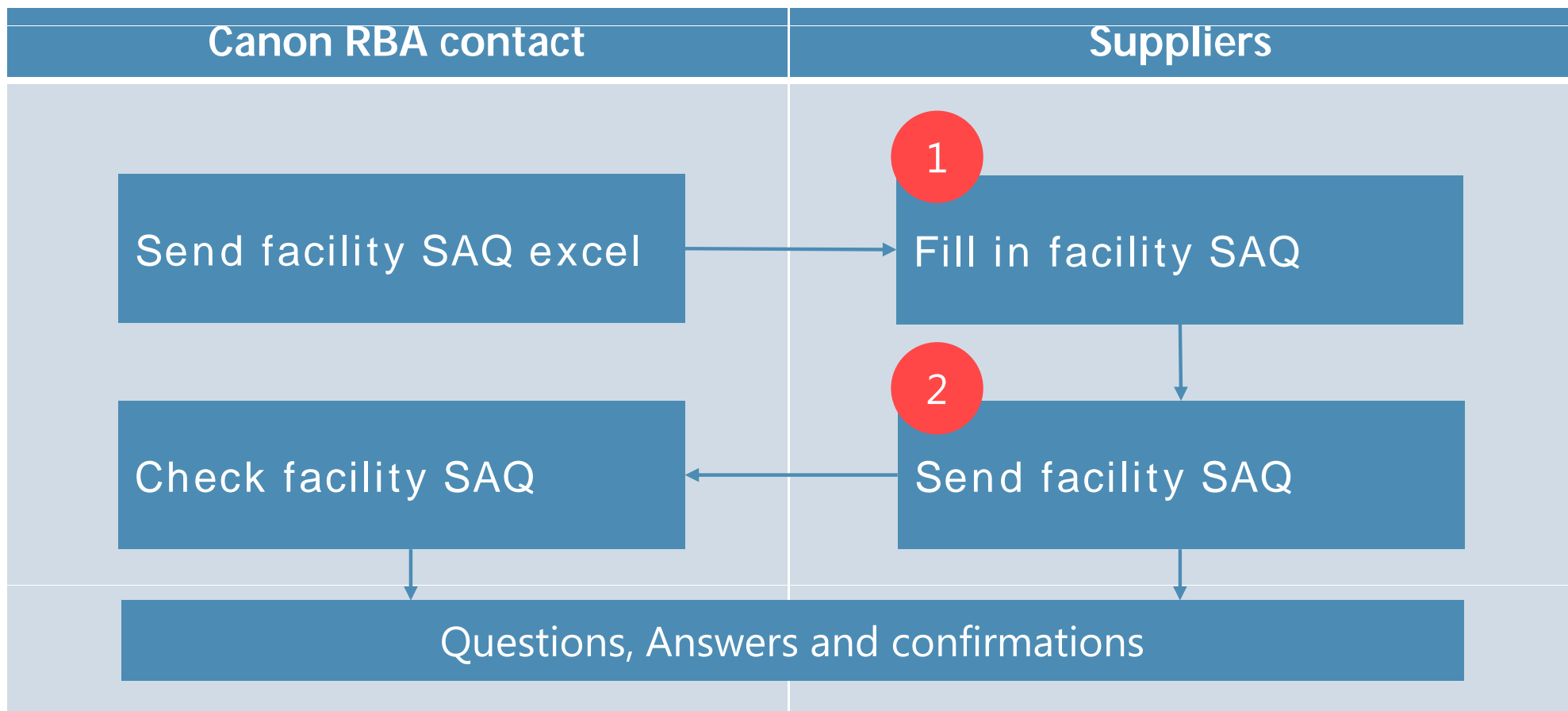
1. EXCEL

2. RBA online

Both are to be explained.

1.EXCEL

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



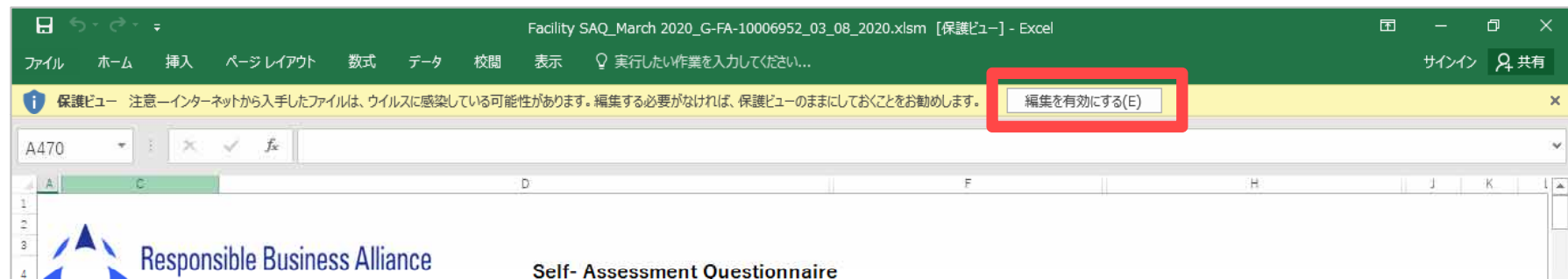
1 ~ 2 See the next page on for details

1 Fill facility SAQ by factory/site

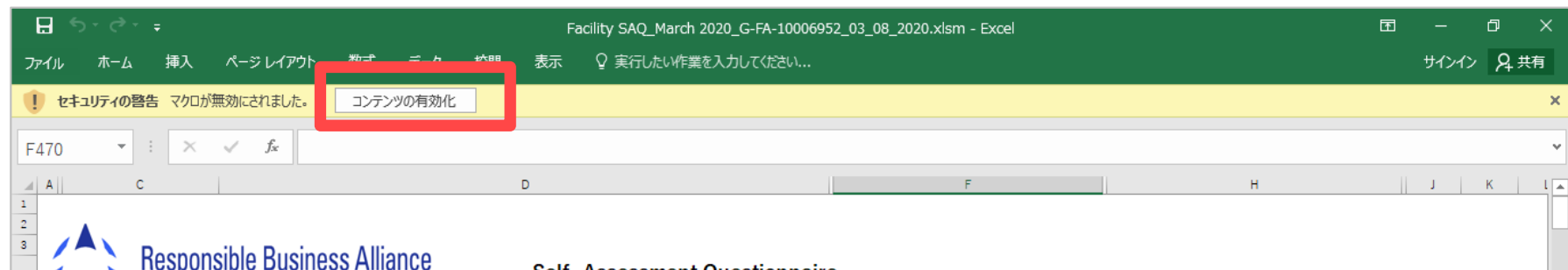
1. Open facility SAQ excel your Canon RBA contact sent you

File Name : **SAQ_2021_jp.xlsm** or **SAQ_2021_en.xlsm** or **SAQ_2021_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 - Answer Method Excel(3/5)

1 Fill facility SAQ by factory/site

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

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


023743 共有

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...

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

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29

 **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

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

If yet to do so, register on RBA online.

Fees are to be borne by you per registered factory.
Please complete and share with Canon the Facility SAQ.

[Canon share ID]

Canon, Inc.

ID : G-CO-10007978

Reference : ZC527848397

When it is published, please contact the request desk.

Please note that the following is a different company.

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

3 - Changes from 2020 SAQ

Change items

Number of items

2021	Japanese	English	Chinese
Changes	421	425	421
No Changes	4	0	4
Add New	11	11	11
Change Item Number	1	1	1
Total	437	437	437

Questions that have been changed in the intraday version have not been changed in the English version (Omitted changes?)

- FHSR1.4a
- FHSR1.4b
- FHSR1.5a
- FHSR1.6b

Number of pull-down items

2021	Japanese	English	Chinese
Changes	816	830	814
No Changes	16	2	18
Add new Question	22	22	22
Question Change	0	0	0
Total	854	854	854

- Chinese to English (No change to content)
- Display format bug fixed

FLBR1.3a

Display format bug fixed

Japanese to English (No change to content)

3 - Changes from 2020 SAQ

Additional question : summary

SA-X-098-00-10/06/64

29

- SAQ 2021 is an updated version of 2020.
- Added questions to reflect changes to the RBA Code of Conduct.
- Additional questions : 11

Category	Question No.	what is being asked
Facility Characteristics	FC1.14b	Description of age-verification procedures to prevent child labour
	FC1.14c	Description of the procedure for returning a child in case of child labor
Labor Risk Elements	FLBR1.1b	What percentage of workers with contracts have done so before leaving their country of origin?
	FLBR1.28a	Pregnancy and virginity tests
Labor Control Elements	FLBC1.12b	If required by law to have an identity verification document, is there a procedure to return it?
	FLBC1.20a	Whether overtime work is voluntary
Health & Safety Control Elements	FHSC1.24a	Whether employees can report all concerns without fear of retaliation
Environmental Risk Elements	FENR1.23a	Whether ozone-depleting substances are used/tracked/labeled
	FENR1.23b	Whether substances that deplete the ozone layer are managed in accordance with the Montreal Protocol
Environmental Control Elements	FENC1.33a	Access to company-wide GHG reduction targets
	FETC1.21a	Policy to conduct due diligence on the source and storage process of 3TG (Tantalum, tin, tungsten, and gold) used in products

3 - Changes from 2020 SAQ

Additional question : details

SA-X-098-00-10/06/64

30

No.	Question	Answer	Additional Information
FC 1.14b	What is the procedure to confirm the age of workers, to determine if are under the age of 18?	Free Answer	A credible mechanism for confirming age
FC 1.14c	What is the procedure to remove children from working, and provide assistance and remedy ?	Free Answer	A credible mechanism for safely returning children below the legal working age to their home
FLBR 1.1b	What percentage of these workers with contracts were provided before leaving their country of origin?	Less than 25%/ 25-49%/ 50-74%/ 75-99%/ 100%	Prior to leaving their home country, contracts including, offer letter, agreement or similar document which Includes clear explanation of job expectations, wages, and all policies and procedures including overtime, giving notice, receiving final pay, and penalty clauses must be given in the local language and signed by the worker. No substitutions upon arrival in host country. Worker: Direct or indirect worker dedicated to the production of a good or delivery of a service

3 - Changes from 2020 SAQ

Additional question : details

SA-X-098-00-10/06/64

31

No.	Question	Answer	Additional Information
FLBR 1.28a	Does your facility allow pregnancy or virginity testing of job applicants ?	· Yes · No	If the only testing is done when legally required, answer "No."
FLBC 1.12b	If required by law to hold identification, has your facility implemented a procedure to return identification to workers immediately upon request?	· Yes · No	If documents are required by law to be held, they must be kept safe and workers must have access to them at any time without delay
FLBC 1.20a	Is all overtime (outside of the CBA) voluntary?	· Yes · No	workers can refuse OT outside of the agreement in the CBA
FHSC 1.24a	Does your management encourage workers to report all concerns without fear of retaliation?	· Yes · No	
FENR 1.23a	Does your facility use/track/label Ozone Depleting Substances?	· Yes · No	

3 - Changes from 2020 SAQ

Additional question : details

SA-X-098-00-10/06/64

32

No.	Question	Answer	Additional Information
FENR 1.23b	Does your facility manage Ozone Depleting Substances in accordance with the Montreal Protocol?	<ul style="list-style-type: none"> · Yes · No 	In the FENR1.23a, if the answer is "Yes", answer this question.
FENC 1.33a	Does your facility have access to a corporate wide GHG reduction goal which included a program to inventory, reduce, and report the emissions publicly?	<ul style="list-style-type: none"> · Yes · No 	Confirming consistency with the corporate (entire group) level framework, rather than at the facility level.
FETC 1.21a	Has your facility adopted a policy to exercise due diligence on the source and chain of custody of the tantalum, tin, tungsten, and gold (3TG) in the products you manufacture?	<ul style="list-style-type: none"> · Yes · No · 3TG not used in the manufacture of any products at this facility 	The policy should reasonably assure that they are sourced in a way consistent with the Organisation for Economic Co-operation and Development (OECD) Guidance for Responsible Supply Chains of Minerals from ConflictAffected and High-Risk Areas or an equivalent and recognized due diligence framework.

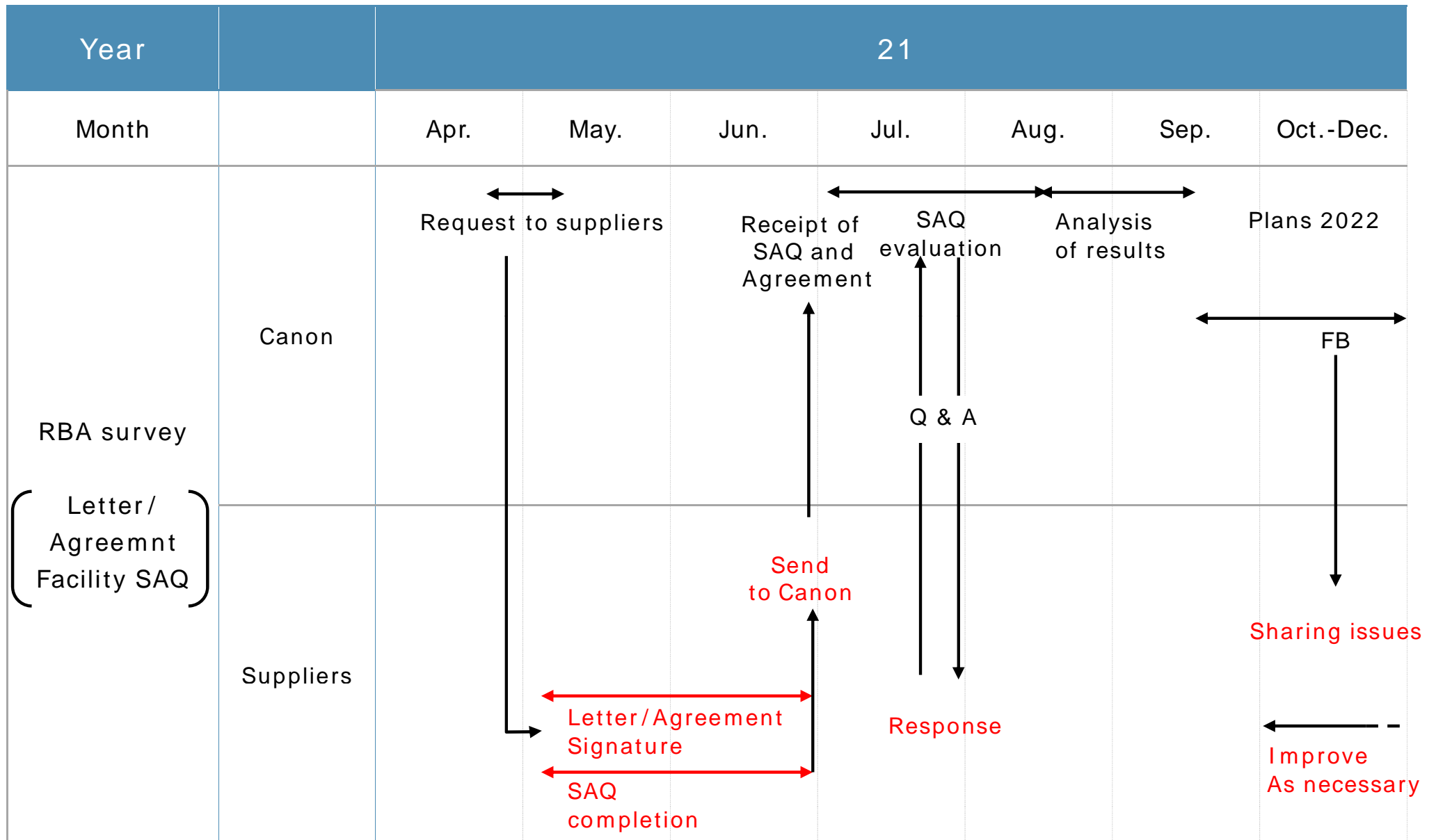
3 - Changes from 2020 SAQ

Change item number

No.	Question	Answer	Additional Information
FC 1.14a	How many female workers employed at your facility are under the age of 18?		FC1.14 →FC1.14a No change in content

4. Schedule

4 - 2021 survey schedule



End