



## HP Supplier Self-Assessment

### Part I

#### **Part D: Labor / Ethics Management System**

##### **Part A: Labor**

##### **Part E: Ethics**

#### **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: Labor / Ethics 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?

- Labor:  Yes  No  
Business Ethics:  Yes  No

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

Labor Ethics

- |                          |                          |   |
|--------------------------|--------------------------|---|
| <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"/> | 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. Does the facility have a management system in place for labor and/or ethics? Check all that apply.

- Labor:  Yes  No  
Business Ethics:  Yes  No

2.1 If "Yes," Is the facility's labor management system registered to SA 8000 (or equivalent)?

- Yes  No

2.1.1 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 "labor MS cert."

### 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 labor/employment and business ethics laws and regulations?

Labor:  Yes  No

Business Ethics:  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:

Labor Ethics

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

4. Does the facility communicate information about its labor and/or business ethics performance, practices and expectations to its suppliers?

Labor:  Yes  No

Business Ethics:  Yes  No

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

Labor Ethics

- |                          |                          |                                       |
|--------------------------|--------------------------|---------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | Correspondence to supplier management |
| <input type="checkbox"/> | <input type="checkbox"/> | Contract terms and conditions         |
| <input type="checkbox"/> | <input type="checkbox"/> | Presentations to suppliers            |
| <input type="checkbox"/> | <input type="checkbox"/> | Training for suppliers                |
| <input type="checkbox"/> | <input type="checkbox"/> | Company extranet                      |
| <input type="checkbox"/> | <input type="checkbox"/> | 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?

Labor:  Yes  No

Business Ethics:  Yes  No

1.1.1 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:

Labor Ethics

- 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: \_\_\_\_\_

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

Labor:  Yes  No

Business Ethics:  Yes  No

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

Labor Ethics

- 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 (EICC)*?

Labor:  Yes  No  
 Business Ethics:  Yes  No

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

Name of Labor/employment management representative:	Position / Title:
Address:	Telephone Number:
	Fax Number:
	Email:
Name of business ethics management representative:	Position / Title:
Address:	Telephone Number:
	Fax Number:
	Email:



2.2 Management System Review. Does the company/facility perform a periodic, top-level assessment of the status of labor/employment and business ethics programs, including: progress toward meeting improvement objectives, results of audits, and completion of corrective actions, in order to identify improvement opportunities?

- Labor:  Yes  No
- Business Ethics:  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:

Labor Ethics

- Reviews are conducted by the human resources staff only.
- Reviews are conducted by human resources 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: \_\_\_\_\_

### D3 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?

- Labor:  Yes  No
- Business Ethics:  Yes  No

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

Labor Ethics

- 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 labor/employment and/or business ethics risks of the facility's operations and activities?

Labor:  Yes  No

Business Ethics:  Yes  No

4.1.1 If "Yes", please indicate how risks are identified and evaluated. Check all that apply:

Labor    Ethics

- |                          |                          |  |
|--------------------------|--------------------------|--|
| <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 (e.g., Human Resources Manager, Business Ethics Compliance Officer) |
| <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 controls to manage the identified labor/employment and/or business ethics risks and ensure regulatory compliance?

Labor:  Yes  No

Business Ethics:  Yes  No

4.2.1 If "Yes", please indicate how the company uses procedural and physical controls to manage the labor and/or business ethics risks to ensure regulatory compliance. Check all that apply:

Labor    Ethics

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



- Procedural controls (work procedures and processes) have been implemented to address labor and/or ethics risks
- The company/facility did not identify the need for any procedural controls
- The company/facility evaluates the effectiveness of controls to verify compliance with regulations.
- The facility does not have a process for evaluating procedural 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?

- Labor:  Yes  No  
Business Ethics:  Yes  No

5.1.1 If "Yes", please indicate how the company establishes performance objectives and implementation plans for labor and business ethics. Check all that apply:

Labor    Ethics

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

**Please attach a copy of the current set of improvement objectives (label attachment "D5.1").**





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

Labor:  Yes  No

Business Ethics:  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:

Labor Ethics

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:

Labor:  Yes  No

Business Ethics:  Yes  No

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

Labor Ethics

The facility provides orientation training for new workers that covers essential information applicable to all workers (e.g. benefits, code of conduct requirements, etc.).

The facility provides refresher training annually to all workers.

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

Managers:

Labor:  Yes  No

Business Ethics:  Yes  No

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

Labor Ethics

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 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:

- Labor:  Yes  No  
Business Ethics:  Yes  No

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

#### Labor Ethics

- 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: \_\_\_\_\_

### Customers:

- Labor:  Yes  No  
Business Ethics:  Yes  No

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

#### Labor Ethics

- Correspondence to customer management.  
  Annual report or other company publication.  
  Training for customers.  
  Company extranet (public web site).  
  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?

Labor:  Yes  No

Business Ethics:  Yes  No

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

Labor Ethics

- |                          |                          |  |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | Workers take tests to assess knowledge gained from training.   |
| <input type="checkbox"/> | <input type="checkbox"/> | Workers are asked or invited to complete surveys.  |
| <input type="checkbox"/> | <input type="checkbox"/> | Suggestion boxes or email addresses are provided to workers for the purpose of obtaining feedback.     |
| <input type="checkbox"/> | <input type="checkbox"/> | Workers are asked or invited to participate in focus groups.   |
| <input type="checkbox"/> | <input type="checkbox"/> | Workers are asked or invited to participate in complaint/concern investigations.                       |
| <input type="checkbox"/> | <input type="checkbox"/> | Workers are asked or invited to participate in developing and improving work practices and procedures. |
| <input type="checkbox"/> | <input type="checkbox"/> | 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 labor practices, and/or business ethics audits in order to assess conformance to regulatory requirements, the requirements of this Code, and other customer contractual requirements?

Labor:  Yes  No

Business Ethics:  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:

Labor Ethics

- Applicable regulatory requirements.
- Applicable customer requirements (e.g., HP Supplier Code of Conduct)
- Management system standards, such as SA 8000 or Sarbanes Oxley.
- Company management system requirements.
- Company work practices and procedures.
- Other. Please describe: \_\_\_\_\_

Audits are performed by:

Labor Ethics

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

Frequency of Audits:

Labor Ethics

- 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?

Labor:  Yes  No

Business Ethics:  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:

Labor Ethics

- Management system audits
- Internal regulatory compliance evaluations.
- Inspections by regulatory agencies.
- Management reviews.
- Incident investigations.
- Worker complaints.
- Other. Please describe: \_\_\_\_\_

The process includes:

Labor Ethics

- Evaluation of root cause(s).
- Identification of corrective actions.
- Identification of preventive actions.
- Assignment of owners for each corrective or preventative action.
- Completion dates.
- Tracking of action items to closure.
- 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 and customer requirements?

Labor:  Yes  No

Business Ethics:  Yes  No

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

Labor Ethics



<input type="checkbox"/>	<input type="checkbox"/>	Management system audits.
<input type="checkbox"/>	<input type="checkbox"/>	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"/>	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 A: Labor**

"Participants are committed to uphold the human rights of workers, and to treat them with dignity and respect as understood by the international community."

**A1. Freely Chosen Employment**

*HP's Supplier Code of Conduct* states that "forced, bonded or indentured labor or involuntary prison labor is not to be used. All work will be voluntary, and workers should be free to leave upon reasonable notice. Workers shall not be required to hand over government-issued identification, passports or work permits as a condition of employment."

1.1 Does the facility have procedures to ensure that all employment is freely chosen and forced labor is never used?

- Yes                       No

1.1.1 If "Yes", please describe your program and/or procedures. Check all that apply:

- The facility assures that its workers are free to quit their job and leave upon reasonable notice
- The facility does not require workers to pay a deposit upon being hired
- The facility does not withhold workers' government-issued identification (passports or work permits) upon hire
- The facility assures that its workers are free to enter and exit the facility and housing during their non-work hours and within curfew hours
- The facility does not use involuntary prison labor
- Other. Please describe: \_\_\_\_\_



## A2. Child Labor

*HP's Supplier Code of Conduct* states that "child labor is not to be used in any stage of manufacturing. The term "child" refers to any person employed under the age of 15 (or 14 where the law of the country permits), or under the age for completing compulsory education, or under the minimum age for employment in the country, whichever is greatest. The use of legitimate workplace apprenticeship programs, which comply with all laws and regulations, is supported. Workers under the age of 18 should not perform hazardous work and may be restricted from night work with consideration given to educational needs."

2.1 Does the facility have a program and/or procedures to prevent the use of "child labor" as defined in section A2 of the Code of Conduct above?

- Yes       No

2.1.1 If "Yes", please describe your program and/or procedures. Check all that apply:

- The facility reviews proof of age documentation (birth certificates, local records, passports, etc.) upon hire for all potential workers
- The facility keeps on file proof of age documentation (birth certificates, local records, passports, etc.) for all active workers
- The facility uses an external source (labor agency, police department, etc.) to verify workers' ages
- The facility has written procedures for restrictions on type of work performed and number of hours for workers under the age of 18
- The facility has a procedure in place to routinely monitor its operations and respond to discovery of employees below the legal age.
- Other. Please describe: \_\_\_\_\_

## A3. Discrimination

*HP's Supplier Code of Conduct* states that "participants should be committed to a workforce free of harassment and unlawful discrimination. Companies shall not engage in discrimination based on race, color, age, gender, sexual orientation, ethnicity, disability, religion, political affiliation, union membership or marital status in hiring and employment practices such as promotions, rewards, and access to training. In addition, workers or potential workers should not be subjected to medical/pregnancy tests that could be used in a discriminatory way."

3.1 Does the facility have a program and/or procedures to prevent discrimination?

- Yes       No

3.1.1 If "Yes", please describe your program and/or procedures. Check all that apply:

- The facility has written procedures to ensure that workers are not hired on the basis of race, color, age, gender, sexual orientation, ethnicity, disability, religion, political affiliation, union membership or marital status.
- The facility's job postings and advertisements do not specify a preference in age, sex, marital status, etc.
- The facility does not require workers or potential workers to take medical/pregnancy tests that are used in a discriminatory way
- Except for health and safety reasons, facility does not place any restrictions on female



- workers due to pregnancy  
 Other. Please describe: \_\_\_\_\_

#### A4. Harsh or Inhumane Treatment

*HP's Supplier Code of Conduct* states that "there is to be no harsh and inhumane treatment, including any sexual harassment, sexual abuse, corporal punishment, mental or physical coercion or verbal abuse of workers: nor is there to be the threat of any such treatment."

4.1 Does the facility have a program and/or procedures in place to prevent inhumane treatment and harsh disciplinary practices?

- Yes       No

4.1.1 If "Yes", please describe your program and/or procedures. Check all that apply:

- The facility has written rules and regulations that describe acceptable practices and associated disciplinary measures if acceptable practices are not followed.
- The facility provides workers with written rules and regulations and disciplinary procedures
- The facility provides workers with a means to confidentially report cases of harassment, sexual abuse, corporal punishment, coercion or verbal abuse
- The facility has procedures to investigate reports and, if appropriate, to discipline those that commit acts of harsh or inhumane treatment against workers.
- Other. Please describe: \_\_\_\_\_

#### A5. Minimum Wages

*HP's Supplier Code of Conduct* states that "compensation paid to workers shall comply with all applicable wage laws, including those relating to minimum wages, overtime hours and legally mandated benefits. Any disciplinary wage deductions are to conform to local law. The basis on which workers are being paid is to be clearly conveyed to them in a timely manner."

5.1 Does the facility have a program and/or procedures in place to ensure that the legal compensation is paid to all workers, is being clearly communicated to workers, and that disciplinary wage deductions conform to local law?

- Yes       No

5.1.1 If "Yes", please describe your program and/or procedures. Check all that apply:

- The facility provides workers with written employment conditions, including terms of their payments and any deductions for employer-provided housing, food, and disciplinary fines, upon being hired
- The facility posts and/or makes available to workers, the legal minimum wage rates and benefits.
- The facility provides workers with written information (e.g. pay slips) showing how their pay and benefits are calculated
- If labor agencies are used and are responsible for paying workers' wages, facility has procedures for verifying and continually monitoring labor agencies to ensure that fees, wages and deductions conform to local law.





- The facility has a training-pay or apprentice-pay program (newly hired workers are paid a lower base wage during the training or apprenticeship period)
- Other. Please describe: \_\_\_\_\_

#### A6. Working Hours

*HP's Supplier Code of Conduct* states that "studies of good manufacturing practices clearly link worker strain to reduced productivity, increased turnover and increased injury and illness. Work weeks are not to exceed the maximum set by local law. Further, a work week should not be more than 60 hours per week, including overtime, except in emergency or unusual situations. Workers should be allowed at least one day off per seven-day week."

6.1 Does the facility have a program and/or procedures in place to ensure that the work week does not exceed the hours and number of days as defined in Section A6 of the Code of Conduct above?

- Yes       No

6.1.1 If "Yes", please describe your program and/or procedures. Check all that apply:

- The facility keeps records of workers' standard and overtime hours to ensure that the working hours are not excessive and meet the legal requirements.
- Workers review and sign a time slip for each pay period confirming the hours they worked are accurate.
- Overtime is offered to workers on a voluntary basis.
- Workers are provided with one (1) day off per every seven (7) days.
- Other. Please describe: \_\_\_\_\_

#### A7. Freedom of Association

*HP's Supplier Code of Conduct* states that "open communication and direct engagement between workers and management are the most effective ways to resolve workplace and compensation issues. Participants are to respect the rights of workers to associate freely, join labor unions, seek representation and or join workers' councils in accordance with local laws. Workers shall be able to communicate openly with management regarding working conditions without fear of reprisal, intimidation or harassment."

7.1 Does the facility have a program and/or procedures for workers to communicate openly with management regarding working conditions?

- Yes       No

7.1.1 If "Yes", please describe your program and/or procedures. Check all that apply:

- The facility has written procedures ensuring that workers can associate freely, join labor unions or workers' councils, and seek representation in accordance with local laws.
- The facility's management holds regular communication sessions with workers to discuss their issues or disputes
- Worker organizations and representatives are available on-site at the facility.
- The facility has regulations and prohibitions concerning workers forming or joining an



- organization.
- Workers are penalized and disciplined for forming or joining an organization.
  - Other. Please describe: \_\_\_\_\_

## Part E: Ethics

*HP's Supplier Code of Conduct* states that "to meet social responsibilities and to achieve success in the marketplace, Participants and their agents are to uphold the highest standards of ethics."

### E 1. No Corruption, Extortion, or Embezzlement

The highest standards of integrity are to be expected in all business interactions. Any and all forms of corruption, extortion and embezzlement are strictly prohibited resulting in immediate termination and legal actions.

1.1 Does the facility have a program and/or procedures to prevent corruption, extortion, or embezzlement?

- Yes       No

1.1.1 If "Yes", please describe your program and/or procedures. Check all that apply:

- The facility has written regulations to ensure that no one acting on the facility's behalf uses corrupt practices to conduct business.
- The facility provides workers with written rules and regulations prohibiting workers from engaging in bribery, corruption or embezzlement
- The facility has procedures to investigate reports and, if appropriate, to discipline those that commit acts of corruption, extortion or embezzlement
- Other. Please describe: \_\_\_\_\_

### E 2. Disclosure of Information

Information regarding business activities, structure, financial situation and performance is to be disclosed in accordance with applicable regulations and prevailing industry practices.

2.1 Does the facility have a program and/or procedures to ensure information is disclosed in accordance with applicable laws and regulations?

- Yes       No

2.1.1 If "Yes", please describe your program and/or procedures. Check all that apply:

- The facility has written procedures to ensure non-disclosure and protection of information about its customers, channel partners, suppliers, employees, and other business partners in accordance with applicable laws and regulations.
- The facility does not communicate any non-public company information except through approved company spokespersons.
- The facility maintains a system of internal controls to ensure the accuracy of information.
- The facility's information regarding business activities, financial situation and performance is audited and verified by external organizations.
- Other. Please describe: \_\_\_\_\_



### E 3. No Improper Advantage

Bribes or other means of obtaining undue or improper advantage are not to be offered or accepted.

3.1 Does the facility have a program and/or procedures to ensure bribes or other means of obtaining advantage are not offered or accepted?

- Yes       No

3.1.1 If "Yes", please describe your program and/or procedures. Check all that apply:

- The facility has written regulations prohibiting all levels of workers from soliciting or accepting kickbacks, bribes, commissions or other unlawful payments for the purpose of receiving favorable treatment contracts or sales from others.
- The facility has a written "gift giving" policy that ensures gifts to or from suppliers and customers is not excessive in cost or frequency.
- The facility regularly monitors its business to ensure its employees or agents do not make or accept improper offers of payments or gifts.
- Other. Please describe: \_\_\_\_\_

### E 4. Fair Business, Advertising and Competition

Standards of fair business, advertising and competition are to be upheld. Means to safeguard customer information should be available.

4.1 Does the facility have a program and/or procedures to ensure fair business, advertising and competition are upheld?

- Yes       No

4.1.1 If "Yes", please describe your program and/or procedures. Check all that apply:

- The facility has a program to ensure advertising statements are not false or misleading and they meet fair business and advertising legal requirements.
- The facility has a means to protect its customers' confidential information and ensure it is not disclosed to third parties.
- Other. Please describe: \_\_\_\_\_

### E 5. Whistleblowers

Programs that ensure the protection of supplier and worker whistleblower confidentiality are to be maintained.



5.1 Does the facility have a program and/or procedures to ensure the confidentiality and protection of workers that report suspected violations of ethical misconduct?

- Yes       No

5.1.1 If "Yes", please describe your program and/or procedures. Check all that apply:

- The facility provides workers with written information on how to report ethical or legal concerns.  
 The facility provides workers with a means to confidentially report ethical or legal concerns.  
 The facility has procedures to investigate reports of ethical or legal misconduct.  
 Other. Please describe: \_\_\_\_\_

## E 6. Community Engagement

Community engagement is encouraged to help foster social and economic development.

6.1 Does the company/facility have community engagement programs that target the facility's local area or region?

- Yes       No

6.1.1 If "Yes", please describe your program and/or procedures. Check all that apply:

- The facility has a charitable giving program and provides donations to support local or regional charities  
 The facility identifies opportunities and encourages employees' involvement in volunteer activities in the communities in which they work and live  
 The facility has received awards and recognition for its community engagement programs  
 Other. Please describe: \_\_\_\_\_

## E 7. Protection of Intellectual Property

Intellectual property rights are to be respected; transfer of technology and know-how is to be done in a manner that protects intellectual property rights.

7.1 Does the company/facility have a program and/or procedures to ensure the protection of intellectual property (their own and that of their customers)?

- Yes       No

7.1.1 If "Yes", please describe your program and/or procedures.

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