

## **EGP Supplier Audit Questionnaire (SAQ)**

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Language: EN

## EGP Supplier Audit Questionnaire

Erste Group (EG) respects social, environmental, and ethical standards. EG is audited every year by the [Global Reporting Initiative \(GRI\)](#) and publishes the results in its annual report.

The quality of the supply chain, shown in this Supplier Audit Questionnaire (SAQ), is very important for this evaluation.

More details and the Supplier Code of Conduct are on the [Erste Group Procurement \(EGP\) webpage](#).

This SAQ is important for procurement and covers EG's principles. Suppliers who cannot provide satisfactory answers and proofs may be excluded from doing business with EG. The SAQ must be filled in electronically on the platform after an EGP request.

Without passing an SAQ, a supplier cannot be shortlisted for any EG tender.

Please note these requirements.

- Answer all questions truthfully.
- If a question needs an attachment, upload it. If the same attachment is needed for more than one question, upload it for each question.

The questions cover these topics.

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Low	Medium	High	Governance
x <sup>1</sup>	x	x	
Q1	Q1	Q1	<p>EN: The translated SAQ documents in local language are on the EGP webpage.</p> <p>DE: Den übersetzten Lieferantenprüfungsfragebogen (SAQ) finden Sie auf der Webseite der EGP.</p> <p>CZ: Auditní dotazník pro dodavatele (SAQ) přeložený do českého jazyka naleznete na webových stránkách EGP.</p> <p>SK: Preložené dokumenty SAQ v lokálnom jazyku nájdete na webovej stránke EGP.</p> <p>HU: A helyi nyelvre lefordított SAQ dokumentum megtalálható az EGP weboldalon.</p> <p>HR: Prijevod SAQ dokumenta na lokalni jezik možete pronaći na Internet stranici EGP.</p> <p>RO: Documentele SAQ traduse in limbile locale sunt disponibile pe pagina web EGP (<a href="https://procurement.egproc.eu/SAQ.html">https://procurement.egproc.eu/SAQ.html</a>)</p>
N/A	Q2	Q2	Does your company have a Code of Conduct? (If yes, attach it.)
N/A	Q <sup>2</sup>	Q <sup>3</sup>	Please provide attachment. (Only full documentation will be accepted)
N/A	Q3	Q3	Does your company comply with all applicable local and international laws and regulations on insider trading?
N/A	Q4	Q4	Does your company comply with all applicable local and international laws and regulations on money laundering?
Q2	Q5	Q5	Does your company comply with all applicable local and international laws and regulations on bribery and corruption?

<sup>1</sup> N/A: not applicable; Q-Number: question.

<sup>2</sup> Q (subquestion).

<sup>3</sup> Q (subquestion).

Q3	Q6	Q6	Does your company comply with all applicable (EU, UN, US) laws and regulations on sanctions?
N/A	Q7	Q7	Does your company have compliance rules or policies which cover sanctions? (If yes, attach them.)
N/A	Q <sup>4</sup>	Q <sup>5</sup>	Please provide attachment. (Only full/complete documentation will be accepted – the document must contain the <u>specified</u> topic)
N/A	Q8	Q8	Does your company have compliance rules or policies which cover insider trading? (If yes, attach them.)
N/A	Q <sup>6</sup>	Q <sup>7</sup>	Please provide attachment. (Only full/complete documentation will be accepted – the document must contain the <u>specified</u> topic)
N/A	Q9	Q9	Does your company have compliance rules or policies which cover money laundering? (If yes, attach them.)
N/A	Q <sup>8</sup>	Q <sup>9</sup>	Please provide attachment. (Only full/complete documentation will be accepted – the document must contain the <u>specified</u> topic)
N/A	Q10	Q10	Does your company have compliance rules or policies which cover bribery and corruption? (If yes, attach them.)
N/A	Q <sup>10</sup>	Q <sup>11</sup>	Please provide attachment. (Only full/complete documentation will be accepted – the document must contain the <u>specified</u> topic)
N/A	Q11	Q11	Does your company have compliance rules or policies which cover gifts and entertainment? (If yes, attach them.)

<sup>4</sup> Q (subquestion).

<sup>5</sup> Q (subquestion).

<sup>6</sup> Q (subquestion).

<sup>7</sup> Q (subquestion).

<sup>8</sup> Q (subquestion).

<sup>9</sup> Q (subquestion).

<sup>10</sup> Q (subquestion).

<sup>11</sup> Q (subquestion).

N/A	Q <sup>12</sup>	Q <sup>13</sup>	Please provide attachment. (Only full/complete documentation will be accepted – the document must contain the <u>specified</u> topic)
N/A	N/A	Q12	Does your company have compliance rules or policies which cover conflicts of interest? (If yes, attach them.)
N/A	N/A	Q <sup>14</sup>	Please provide attachment. (Only full/complete documentation will be accepted – the document must contain the <u>specified</u> topic)
Q4	Q12	Q13	In the last five years, has your company been convicted of any breaches of the law or been subject to a civil action or (administrative) criminal proceedings, with or without penalty? (If yes, attach details.)
Q <sup>15</sup>	Q <sup>16</sup>	Q <sup>17</sup>	If it has, please give details of all such convictions and provide attachments.
N/A	Q13	Q14	Has your company implemented internal whistleblowing channels? (If yes, attach it. e.g. Whistleblower policy)
N/A	Q <sup>18</sup>	Q <sup>19</sup>	Please provide attachment. (Only full/complete documentation will be accepted – the document must contain the <u>specified</u> topic)
Q5	Q14	Q15	Does your company follow cyber security practices with regard to information protection? This includes unauthorised access, use, disclosure, disruption, modification, and destruction.
N/A	Q15	Q16	Does your company have a cyber security policy? (If yes, attach it.)
N/A	Q <sup>20</sup>	Q <sup>21</sup>	Please provide attachment. (Only full/complete Cyber Security Policy and/or ISO27001 or SOC2 will be accepted)

<sup>12</sup> Q (subquestion).

<sup>13</sup> Q (subquestion).

<sup>14</sup> Q (subquestion).

<sup>15</sup> Q (subquestion).

<sup>16</sup> Q (subquestion).

<sup>17</sup> Q (subquestion).

<sup>18</sup> Q (subquestion).

<sup>19</sup> Q (subquestion).

<sup>20</sup> Q (subquestion).

<sup>21</sup> Q (subquestion).

Q6	Q16	Q17	Does your company comply with the General Data Protection Regulation (GDPR) and all other applicable legislation on the processing of personal data?
Q7	Q17	Q18	Does your company have data protection and related policies and procedures in place (e.g., personal data breach reporting, personal data retention, subject access request, data security)? (If yes, attach them.)
Q <sup>22</sup>	Q <sup>23</sup>	Q <sup>24</sup>	Please provide attachment. (Only full/complete Information Privacy Policy and / or ISO27001 or other internal policy containing the specified topics)
Q8	Q18	Q19	In the last three years, have you either reported an incident related to personal data to the relevant supervisory authority in your company or been subject to any action from the relevant supervisory authority? (If yes, attach details.)
Q <sup>25</sup>	Q <sup>26</sup>	Q <sup>27</sup>	If it has, please give details of all such incidents and provide attachments.

<sup>22</sup> Q (subquestion).

<sup>23</sup> Q (subquestion).

<sup>24</sup> Q (subquestion).

<sup>25</sup> Q (subquestion).

<sup>26</sup> Q (subquestion).

<sup>27</sup> Q (subquestion).

Low	Medium	High	Social
X	X	X	
Q1	Q1	Q1	Does your company comply with all applicable local and international laws and regulations on the abolition of child labour, and the elimination of all forms of forced and compulsory labour?
Q2	Q2	Q2	Does your company comply with all applicable local and international laws and regulations on non-discrimination in employment?
Q3	Q3	Q3	Does your company comply with all applicable local and international laws and regulations on freedom of association and the right to collective bargaining?
Q4	Q4	Q4	Does your company comply with all applicable local and international laws and regulations on reasonable working hours and fair remuneration?
Q5	Q5	Q5	Does your company comply with all applicable local and international laws and regulations on the provision of a safe workplace?
Q6	Q6	Q6	Does your company comply with all applicable local and international laws and regulations on fair working conditions (free from physical, psychological, and verbal harassment, and other forms of abusive conduct)?
Q7	Q7	Q7	Does your company comply with all applicable local and international laws and regulations on the prohibition of illegal drugs?
N/A	Q8	Q8	Do your company's policies and procedures address and prohibit practices such as child labour, the exploitation of workers, the use of forced and compulsory labour, and human trafficking, in its business operations and throughout its supply chain? (If yes, attach details.)

N/A	Q <sup>28</sup>	Q <sup>29</sup>	Please provide attachment. (Only full/complete documentation will be accepted – the document must contain the <u>specified</u> topic)
N/A	Q9	Q9	Is there an equal opportunities policy in place at your company that forbids any type of discrimination in, for example, the recruitment process, compensation, promotion, access to training, termination, and retirement of employees, as well as across its supply chain? (If yes, attach details.)
N/A	Q <sup>30</sup>	Q <sup>31</sup>	Please provide attachment. (Only full/complete documentation will be accepted – the document must contain the <u>specified</u> topic)
N/A	N/A	Q10	Does your company provide a safe and hygienic workplace, bearing in mind its knowledge of the industry and of any specific hazards in its supply chain?
N/A	N/A	Q11	Does your company provide a workplace free from physical, psychological, and verbal harassment, and other forms of abusive conduct across its supply chain?
N/A	N/A	Q12	Does your company follow reasonable working hours and minimum wage regulations, including in its supply chain?
Q8	Q10	Q13	In the past three years, has your company been convicted of any breaches of employment laws or any infringement of health and safety legislation? (If yes, attach details.)
Q <sup>32</sup>	Q <sup>33</sup>	Q <sup>34</sup>	If yes, please give details of all such convictions and provide attachments. (Only full/complete documentation will be accepted – the document must contain the <u>specified</u> topic)

<sup>28</sup> Q (subquestion).

<sup>29</sup> Q (subquestion).

<sup>30</sup> Q (subquestion).

<sup>31</sup> Q (subquestion).

<sup>32</sup> Q (subquestion).

<sup>33</sup> Q (subquestion).

<sup>34</sup> Q (subquestion).



Low	Medium	High	Sustainability
X	X	X	
N/A	N/A	Q1	Does your company have a written environmental policy? (If yes, attach it.)
N/A	N/A	Q <sup>35</sup>	Please provide an attachment. (Only full/complete documentation (e.g. ESG, CSR report, other internal report containing specified topic can be accepted)
N/A	Q1	Q2	Does your company have an environmental management system (e.g., ISO 14001 ,EMAS or LEED)?
N/A	Q <sup>36</sup>	Q <sup>37</sup>	Is your environmental management system based on any recognised national or international standard? (If yes, attach details.)
N/A	Q <sup>38</sup>	Q <sup>39</sup>	If yes, please attach relevant documents. (Only external audited certificate will be accepted)
N/A	N/A	Q3	Does your company participate in the Carbon Disclosure Project (CDP)?
N/A	Q2	Q4	Does your company measure its CO <sub>2</sub> emissions?
N/A	Q <sup>40</sup>	Q <sup>41</sup>	If it does not, why not?
N/A	Q3	Q5	Does your company set environmental objectives and targets?
N/A	Q4	Q6	Does your company take into account environmental criteria within its supply chain?
N/A	Q5	Q7	Has consideration been given to the reuse or recycling of the product at the end of its useful life?

<sup>35</sup> Q (subquestion).

<sup>36</sup> Q (subquestion).

<sup>37</sup> Q (subquestion).

<sup>38</sup> Q (subquestion).

<sup>39</sup> Q (subquestion).

<sup>40</sup> Q (subquestion).

<sup>41</sup> Q (subquestion).

Q1	Q6	Q8	In the last three years, has your company been fined or convicted for an environmental infringement? (If yes, attach details.)
Q <sup>42</sup>	Q <sup>43</sup>	Q <sup>44</sup>	If it has, please give details of all such convictions and provide attachments.

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<sup>42</sup> Q (subquestion).

<sup>43</sup> Q (subquestion).

<sup>44</sup> Q (subquestion).

Low	Medium	High	Quality
N/A	x	x	
N/A	N/A	Q1	Does your company have a documented quality policy in place which defines the objectives for a commitment to quality? <ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>
N/A	N/A	Q2	Does your company have a documented quality management system? <ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>
N/A	N/A	Q3	Is your quality management system based on any recognised national or international standard? (If yes, attach details.)
N/A	N/A	Q <sup>45</sup>	Please attach relevant documents. (Only external audited certificate will be accepted. e.g. ISO9001)
N/A	Q1	Q4	Does your company have a documented business continuity plan? (If yes, attach it.)
N/A	Q <sup>46</sup>	Q <sup>47</sup>	Please provide an attachment. (Only full/complete documentation will be accepted and/or e.g. ISO27001 or ISO22301)

<sup>45</sup> Q (subquestion).

<sup>46</sup> Q (subquestion).

<sup>47</sup> Q (subquestion).

Low	Medium	High	Risk Assessment
N/A	N/A	x	
N/A	N/A	Q1	<p>Does your company assess and evaluate financial risk?</p> <p>This risk dimension shows the expected financial risk impact. It includes but it is not limited to: financial loss, foregone profit, regulatory fines, negative balance sheet, liquidity risk, foreign investment risk, and fraud.</p>
N/A	N/A	Q2	<p>Does your company assess and evaluate reputational risk?</p> <p>This risk dimension assesses and evaluates the expected impact on the trust in an company's reputation, negative publicity, brand, or share price. It includes but is not limited to monitoring the surrounding environment, conducting informal surveys amongst stakeholders, and diligent media monitoring.</p>
N/A	N/A	Q3	<p>Does your company assess and evaluate legal risk?</p> <p>This risk dimension includes but is not limited to:</p> <p>regulatory risk (risk of having your company's licence to operate withdrawn by a regulator), or having conditions applied, retrospectively or prospectively, that adversely impact the economic value of an enterprise;</p> <p>legal compliance risk (risk that the company, or entities such as affiliates, subcontractors, etc.) could fail to comply with the law at national and international level).</p>

Low	Medium	High	Public Officials (PO)
X	X	X	
N/A	N/A	N/A	<p>Instruction</p> <p>This instruction clarifies the question terms marked with * below.</p> <p><i>*Director, Chief Executive Officer, Managing Director, Deputy CEO or Managing Director, Member of the Management Board, Board of Directors, Supervisory Body, power of Attorney, Ultimate Beneficial Owner</i></p> <p><i>** Public Officials (PO) including their blood relatives and spouses/partners if such relatives and or spouses/partners are covered with the PO definition of the respective Criminal Code administrative code or any other relevant anti-corruption legislation</i></p> <p><i>*** executives (e.g. President, General Director etc.) in public/state-owned institutions/companies i.e. any person, who according to the applicable legislation, has power to represent the public/state-owned institutions/companies from financial perspective (notably credit initiators)</i></p>
Q1	Q1	Q1	<p>Are any of your Decision-Makers* considered <b>Public Officials**</b> with management role*** under the respective Criminal Code or any other administrative code or relevant anti-corruption legislation applicable in your home country or the country of delivery of service?</p>
Q <sup>48</sup>	Q <sup>49</sup>	Q <sup>50</sup>	If yes, please provide an attachment.

<sup>48</sup> Q (subquestion).

<sup>49</sup> Q (subquestion).

<sup>50</sup> Q (subquestion).

Low	Medium	High	Conflict of Interest (Col)
X	X	X	
Q1	Q1	Q1	Is any individual working for your company related by blood (e.g., parent, child, sibling) with an employee with decision-making power at any relevant business of Erste Group (If yes, attach details.)
Q <sup>51</sup>	Q <sup>52</sup>	Q <sup>53</sup>	If yes, please provide an attachment.
Q2	Q2	Q2	Is any individual working for your company a spouse or partner of an employee with decision-making power at any relevant business of Erste Group? (If yes, attach details.)
Q <sup>54</sup>	Q <sup>55</sup>	Q <sup>56</sup>	If yes, please provide an attachment.
Q3	Q3	Q3	Does any individual working for your company have any legal connection (e.g., owns a company or holds a position) with an employee with decision-making power at any relevant business of Erste Group? (If yes, attach details.)
Q <sup>57</sup>	Q <sup>58</sup>	Q <sup>59</sup>	If yes, please provide an attachment.

<sup>51</sup> Q (subquestion).

<sup>52</sup> Q (subquestion).

<sup>53</sup> Q (subquestion).

<sup>54</sup> Q (subquestion).

<sup>55</sup> Q (subquestion).

<sup>56</sup> Q (subquestion).

<sup>57</sup> Q (subquestion).

<sup>58</sup> Q (subquestion).

<sup>59</sup> Q (subquestion).