



VENDOR ASSESSMENT (POLICY) QUESTIONNAIRE

Assessment Date	
Method	Desk audit / Field Audit
Auditee(s)	

Supplier's Details

Company's name	
Address of factory	
Tel/Fax No.	
Email Address	
Product (s) Purchase by Thong Guan	

Name of Person in Charge

Person Responsible at Site	Title	Name
Human Resources & Social Compliance		
Production		
Engineering		
Quality Control		
Warehouse & Logistic		
Procurement		
Factory's Facilities		
Responsible for OHSA		



1. Document Controls & Quality Management

No.	Assessment	Key Requirements	Document Evidence (Yes/No)	Findings	Comment	Score (point rating refer to last page)
1.	Is there an officially recognized quality system in operation?	ISO, GMP, HACCP, FSSC, etc.				
2.	Documented Quality Policy and Objectives?	Company's policy and objectives.				
3.	Quality policy.	Objectives and responsibility clearly stated				
4.	Is there an appointed person (MR) responsible for the implementation and maintenance of the quality system?	MR & Committee Chart				
5.	Is there an organizational chart to identify key responsibility of the operation team?	Operation team organisational chart to identify key responsibility of operation team				
6.	Is there a system to control all quality related documents?	Product Quality Checklist, Incoming material checklist etc				
7.	Is work reports available for inspection?	Daily production report, QC checks report etc				
8.	Does Management Review conduct effectively?	Meeting Minutes				



2. Human Resource & Employment

No.	Assessment	Key Requirements	Document Evidence (Yes/No)	Findings	Comment	Score (point rating refer to last page)
1.	Laws and Regulations: - To comply with all applicable local employment laws, rules & regulations related to employment of workers	Employment contract and/or employees handbook, policy memo, minimum wages, working hours and benefits				
2.	Letter of Appointment	Written LOA				
3.	Freedom of Association Policy Rights of employees to freely associate and determine whether they wish to join labour unions.	Copy of policy or statement				
4.	Forced Labour Policy Supplier will not use forced, bonded prison, or compulsory labour or engage in human trafficking	Copy of policy or statement				
5.	Child labour Policy Prohibit the use of all form of child labour. Here, "child" denotes to any individual under the age od 18.	Copy of policy or statement				



6.	Discrimination Policy Prohibit any form of harassment, regardless of race, colour, age, gender, sexual orientation, gender identity and expression, ethnicity or national origin, disability, pregnancy, religion, political affiliation, or union membership.	Copy of policy or statement				
7.	Migrant Workers Employment Ensure fairness, all migrant workers receive equal benefits and opportunities based on their merit and performance.	Policy, Contract with workers, Contract with Agent, Hostel condition				
8.	Personal Data Protection Policy Protect personal data of employees.	Copy of policy or statement				



3. Health & Safety

No.	Assessment	Key Requirements	Document Evidence (Yes/No)	Findings	Comment	Score (point rating refer to last page)
1.	Any written policy on health and safety?	Health & Safety Policy, ISO45001 or its equivalent etc				
2.	Work place environment - Are the health & safety requirements communicated and understood by employees?	Safety Notice, Hazardous indicator, Evacuation plan				
3	Hostel Conditions - Is the hostel conditions comply with rules & regulation requirements?	Comply with rules & regulations requirements				
4.	Accidents & Injuries - Any case of fatality or major accident (>2 days medical leave) reported during operation process?	Report, CAR & statistic, First Aid training				
5.	Health & Safety Regulations - Any non-compliance with health & safety regulations in the past 3 years?	PPE, Safety Training,				
6.	Emergency & Training - Are the procedures on emergency available? - Do your employees/workers receive health and safety training relevant to their job?	First aid training, forklift training, fire training				



4. Environment & Sustainability

No.	Assessment	Key Requirements	Document Evidence (Yes/No)	Findings	Comment	Score (point rating refer to last page)
1.	Is Environmental Policy and target/ objective established?	Environmental Policy, ISO14001 or its equivalent etc				
2	Any penalty on non-compliance of environmental issues in the past 3 years?	Comply with rules & regulations requirements				
3.	What actions are in place regarding the reduction of energy consumption and the emission of GHG?	Example <ul style="list-style-type: none"> • Training of employees on energy conservation/climate actions • Purchase or generation of renewable energy • Reduction of carbon emission in transportation • Improve of energy efficiency through technology and equipment upgrade • Others, please elaborate 				
4.	What actions are in place regarding water management?	Example <ul style="list-style-type: none"> • Technologies or practices to recycle or reuse water • Reduction of water consumption through technology or equipment • Water-stress assessment 				



		<ul style="list-style-type: none"> • On-site or off-site Wastewater treatment facilities • Wastewater quality assessment • Control measures to prevent contamination of groundwater • Others, please elaborate 				
5.	What actions are in place regarding air pollution?	<p>Example</p> <ul style="list-style-type: none"> • Actions to prevent emission of atmospheric pollutant and other environment nuisances (e.g. noise, odour, vibration, road and light) • Work process or technologies to mitigate emissions of dust, particulate matter, noise, odour. • Air quality monitoring • Others, please elaborate 				
6.	What actions are in place regarding hazardous materials	<p>Example</p> <ul style="list-style-type: none"> • Reduction of material consumption through process optimisation • Use of eco-friendly or bio-based input materials • Actions for labelling, storing, handling, transporting and safe disposal of hazardous substances • Training employees to safely handle and manage hazardous substance • Others, please elaborate 				



7.	What actions are in place regarding waste management?	<p>Example</p> <ul style="list-style-type: none"> • Actions taken to reduce waste to landfill • Appropriate method for waste disposal • Others, please elaborate 				
8.	Biodiversity impact	<ul style="list-style-type: none"> • Describe supplier's business model • Assess the impact of supplier's business model to biodiversity 				
9.	Any other Environmental issues	<ul style="list-style-type: none"> • Describe any other environmental issues faced by suppliers • Any environmental fine/penalties imposed by authorities in the past 3 years 				



5. Business Integrity

No.	Assessment	Key Requirements	Document Evidence (Yes/No)	Findings	Comment	Score (point rating refer to last page)
1.	Anti-Bribery & Corruption Policy	Copy of policy or statement				
2.	No Gifts Policy	Copy of policy or statement				
3.	Intellectual Property	Copy of policy or statement				
4.	Conflict of Interest	Copy of policy or statement				
5.	Business Integrity	Copy of policy or statement				
6.	Whistleblowing Policy	Copy of policy or statement				



Summary of Grading

No	Areas of Audit	Score	Grading
1	Document Controls & Quality Management		
2	Human Resource & Employment		
3	Safety & Healthy		
4	Environmental Sustainability		
5	Business Integrity		
	Total Score		
	Rate of score = Total Score / 148 (Total Max. Points) x 100		

Point Rating System:

Point	Grade	Description
4	Excellent	Periodic review of practice and effectively implemented.
3	Good	Practice in place, documented in place and training is completed.
2	Fair	Have documented procedure with some implementation.
1	Poor	Existing practice, little or no document system exist but practice in place.
0	NA	Not related / no implementing at all.

Grade	Score (%)	Rating	Remarks
A	90 & above	Outstanding and exceeds performance	• Re-assess only Three (3) years once
B	76 - 89	Satisfactory and meet expected performance	• Re-assess only Two (2) years once
C	51 - 75	Meet most expectation and need some improvement with corrective action	• Re-assess on annual basis • Need monitoring & support for improvement
D	0 - 50	Need significant improvement with corrective action plan	• Re-assess on annual basis with corrective action plan • If there is no improvement, propose terminating business relationship