



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
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?	Latest Organizational chart.				
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,				
2.	Letter of Appointment	Written LOA				
3.	Freedom of Association Policy	Copy of policy or statement				
4.	Forced Labour Policy	Copy of policy or statement				
5.	Discrimination Policy	Copy of policy or statement				
6.	Personal Data Protection Policy	Copy of policy or statement				
7.	Harassment Policy	Copy of policy or statement				
8.	Migrant Workers Employment	Policy, Contract with workers, Contract with Agent, Hostel condition				



3. Safety & Health

No.	Assessment	Key Requirements	Document Evidence (Yes/No)	Findings	Comment	Score (point rating refer to last page)
1.	Work place environment	Safety Notice, Hazardous indicator, Evacuation plan				
2.	Hostel Conditions	Comply with rules & regulations requirements				
3.	Accidents & Injuries	Report, CAR & statistic, First Aid training				
4.	Health & Safety Regulations	PPE, Safety Training,				
5.	Emergency & Training	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.	Hazardous Materials & Product Safety	<ul style="list-style-type: none"> Describe method of chemical: liquid, solid or dry waste dispose 				
2	Resources use: Consumption of main raw material Use of sustainable material (including recycled material and bio-based material), where applicable	<ul style="list-style-type: none"> Proof of purchase Efficiency of main raw material consumption 				
3	Using of renewable energy or green equipment in production. Efforts of energy efficiency objective	<ul style="list-style-type: none"> Proof of purchase & other records 				
4.	Efforts of segregating post-consumer waste / post-industrial waste	<ul style="list-style-type: none"> Procedures & documentation Waste reduction target 				
5.	Air, Noise & Water Pollution	<ul style="list-style-type: none"> PPE provided, any system in place to mitigate 				



6	Fighting climate change, including disclosure of CO2/GHG emission	<ul style="list-style-type: none"> • Disclosure of suppliers' action in fighting climate change • Disclosure of CO2/GHG emission by supplier 				
7	Biodiversity impact	<ul style="list-style-type: none"> • Describe supplier's business model • Assess the impact of supplier's business model to biodiversity 				
8	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.	Conflict of Interest	Copy of policy or statement				
4.	Business Integrity	Copy of policy or statement				
5.	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 / 124(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 two years once
B	76 - 89	Satisfactory and meet expected performance	Re-assess on yearly basis
C	51 - 75	Meet most expectation and need some improvement with corrective action	Need monitoring & support for improvement
D	0 - 50	Need significant improvement with corrective action plan	Close monitoring for great improvement