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# EGP Supplier Audit Questionnaire

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Erste Group is committed to respect social, environmental and ethical standards. Erste Group is annually audited according to the [Global Reporting Initiative \(GRI\)](#) and makes the outcome – reflecting our engagement – public to all investors in the annual report.

The quality of the supply chain – reflected in this Supplier Audit Questionnaire (SAQ) - is a highly relevant element of this evaluation.

More details and the supplier code of conduct can be found in the according area of the [Erste Group Procurement Webpage](#).

This SAQ is an important element in the procurement process and covering all Erste Group principles. Suppliers that are not able to provide and prove satisfying results of that audit are subject to exclusion from entering/continuing business. The SAQ form must be filled in electronically on the Fluenta platform following an EGP request. The template from below has just the purpose to serve as a guidance to suppliers and to illustrate what information are required.

Without a passed SAQ it will not be possible to participate in any short list of any tender in Erste Group.

Please pay attention to the principles described below:

\*All questions must be answered truthfully.

\*If a question is answered with YES, the respective attachment has to be uploaded as well. This means if the same attachment is valid for more than one question you will have to upload the same document for each respective question.

\*The more questions are answered with NO, the higher the risk of failing the SAQ.

\*Answering a question with N/A: Please be aware that all questions answered “not applicable” will be analysed in detail by Erste Group. In case we disagree the question will be scored like NO. Nevertheless if a question is really not applicable for the category you are delivering or for your kind of company, N/A is a valid answer and will be accepted and scored like YES. In case you select N/A it is mandatory to provide a reason.

## 1. Company Information

1.1. Supplier Details
*Name:
*Address:
*City:
*Country:
*Post Code:
*Telephone Number:
Fax Number:
*E-Mail Address:
*Legal Form (Ltd, GmbH, LLC etc):
*Date of Formation:
*Company Registration Number:
*Court of Registration:
*Company Tax Number:

1.2. Key Management (i.e. Owners, CEO, CFO etc)
*Name and title (Name / Position):

1.3 General Information
*1.3.1 Number of Employees
*1.3.2 Number of Years in business
*1.3.3 Is your company a producer/manufacturer, distributor, agent or affiliated partner for the services/goods that you provide to EG? Please specify.
*1.3.4 For any company that is part of a Group please complete the section 1.4 "Holding" or "Mother" Company Details.
*1.3.5 Please provide scanned copy of your company registration document no older than 3 months

1.4. "Holding" or "Mother" Company Details
Name:
Address:
City:
Country:

Post Code:
Telephone Number:
Fax Number:
E-Mail Address:
Legal Form (Ltd, GmbH, LLC etc):
Date of Formation:
Company Registration Number:
Court of Registration:
Company Tax Number:

<b>1.5. This questionnaire was completed by ...</b>
*Name:
*Job Title:
*Date:

## 2. Financial

<b>2.1. Financial Details</b>
<p><b>*2.1.1</b> If your company's D&amp;B report is not detailed or relevant enough, please use one of the local alternatives based on the country. Please attach relevant documentation (Austria – KSV (KSV1870, <a href="http://www.ksv.at">www.ksv.at</a>), Bosnia – Bisnode (Bonitetno izvješće, <a href="http://www.boniteti.ba">www.boniteti.ba</a>), Croatia – Bisnode (Bonitetno izvješće, <a href="http://www.boniteti.hr">www.boniteti.hr</a>), Czech Republic – Bisnode (Bisnode, <a href="http://www.bisnode.cz">www.bisnode.cz</a>), Hungary – Opten (Kapcsolati Háló, <a href="http://www.opten.hu">www.opten.hu</a>), Macedonia – Bisnode (Bonitetno izvješće, <a href="http://www.boniteti.hr">www.boniteti.hr</a>), Montenegro – Bisnode (Bonitetno izvješće, <a href="http://www.boniteti.hr">www.boniteti.hr</a>), Romania – KeysFin/Coface (KeysFin Credit Report, <a href="http://www.keysfin.com">www.keysfin.com</a> / Coface Business Credit Report, <a href="http://www.coface.ro">www.coface.ro</a>), Serbia – Bisnode (Bonitetno izvješće, <a href="http://www.boniteti.rs">www.boniteti.rs</a>), Slovakia – SIMS Credit Report (please select 'Yes', report will be provided by Erste Group), Slovenia – Bisnode (Bonitetno poročilo, <a href="http://www.bonitete.si">www.bonitete.si</a>).</p> <p>Or provide the relevant link in case of on-line documents.</p>

## 3. Operational

<b>3.1. Quality System Information</b>
<p><b>*3.1.1</b> Does your company have a documented Quality Policy in place which defines the objectives for a commitment to quality? Please attach relevant documentation</p> <p><b>*3.1.2</b> Does your company have a documented Quality System? Please attach relevant documentation</p> <p><b>*3.1.3</b> Is your Quality System based on any recognised national or international standard? If Yes, which standard(s)?</p>

Date of the last audit? Last audit was performed by? Please attach relevant documentation.
<b>*3.1.4</b> Does your company have a documented Disaster Recovery Plan? Please attach relevant documentation.

## 4. Governance

Does your company have a governance policy that deals with any of the following sensitive issues associated with your business activities?

4.1. Governance
<b>*4.1.1</b> Corporate Governance Please attach relevant documentation Reason for N/A?
<b>*4.1.2</b> Compliance Practices Please attach relevant documentation Reason for N/A?
<b>*4.1.3</b> Insider Trading Please attach relevant documentation Reason for N/A?
<b>*4.1.4</b> Money Laundering Please attach relevant documentation Reason for N/A?
<b>*4.1.5</b> Bribery & Corruption Please attach relevant documentation Reason for N/A?
<b>*4.1.6</b> Gifts & Entertainment Please attach relevant documentation Reason for N/A?
<b>*4.1.7</b> Conflicts of Interest Please attach relevant documentation Reason for N/A?
<b>*4.1.8</b> Security Please attach relevant documentation Reason for N/A?
<b>*4.1.9</b> Ethical Trading Please attach relevant documentation Reason for N/A?
<b>*4.1.10</b> Responsible Marketing Please attach relevant documentation Reason for N/A?
<b>*4.1.11</b> Animal Rights Please attach relevant documentation Reason for N/A?

<p><b>*4.1.12 Stakeholder Engagement</b> Please attach relevant documentation Reason for N/A?</p>
<p><b>*4.1.13 Risk Management</b> Please attach relevant documentation Reason for N/A?</p>
<p><b>*4.1.14 Accounting &amp; Taxation Practice Standards</b> Please attach relevant documentation Reason for N/A?</p>
<p><b>*4.1.15 Handling of Complaints</b> Please attach relevant documentation Reason for N/A?</p>
<p><b>*4.1.16 Customer Service Commitments</b> Please attach relevant documentation Reason for N/A?</p>
<p><b>*4.1.17 Does your company take care of governance criteria within its supply chain?</b> Please attach relevant documentation Reason for N/A?</p>

## 4.2. Prosecution

\*Has your company been prosecuted for any breaches of the law or been subject to a civil action in respect to any of the ethical issues listed above during the past 3 years?  
If Yes, please give details of such prosecutions.

## 5. Social

Does your company have policies on human rights and workplace conditions consistent with the requirements of the Universal Declaration of Human Rights and the International Labour Conventions relating to the following?

<b>5.1. Social</b>
<p><b>*5.1.1 The effective abolition of child labour</b> Please attach relevant documentation Reason for N/A?</p>
<p><b>*5.1.2 The elimination of all form of forced and compulsory labour</b> Please attach relevant documentation Reason for N/A?</p>
<p><b>*5.1.3 The elimination of discrimination in respect of employment</b> Please attach relevant documentation Reason for N/A?</p>
<p><b>*5.1.4 Freedom of association and the right to collective bargaining</b> Please attach relevant documentation Reason for N/A?</p>

<p><b>*5.1.5</b> Reasonable working hours and fair remuneration Please attach relevant documentation Reason for N/A?</p>
<p><b>*5.1.6</b> Provision of a safe working environment Please attach relevant documentation Reason for N/A?</p>
<p><b>*5.1.7</b> Health Promotion Please attach relevant documentation Reason for N/A?</p>
<p><b>*5.1.8</b> Occupational Health &amp; Safety (OHS) Please attach relevant documentation Reason for N/A?</p>
<p><b>*5.1.9</b> Job Restructuring Please attach relevant documentation Reason for N/A?</p>
<p><b>*5.1.10</b> Fair working conditions Please attach relevant documentation Reason for N/A?</p>
<p><b>*5.1.11</b> Does your company take care of social criteria in its supply chain Please attach relevant documentation Reason for N/A?</p>

## 5.2. Social Policies

<p>*Do such policies extend to all offices and factories, including those of any subcontractors, which supply products &amp; services to us? Reason for N/A?</p>
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## 5.3. Risk Assessment

<p>*Has your company undertaken a risk assessment of workplace health &amp; safety and identified suitable and sufficient precautions and control measures? Reason for N/A?</p>
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## 5.4. Prosecution

<p>*Has your company been prosecuted for any breaches of employment laws or any infringement of health &amp; safety legislation in the past 3 years? If Yes, please give details of all such prosecutions.</p>
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## 6. Environmental

### 6.1. Environmental Policy & Practice

**\*6.1.1** Does your company have an Environmental management system (e.g ISO 14.001 or EMAS)?

Please attach relevant documentation

Reason for N/A?

**\*6.1.2** Does your company participate in the CDP (Carbon Disclosure Project)

Please attach relevant documentation

Reason for N/A?

**\*6.1.3** Does your company have a written Environmental Policy?

Please attach relevant documentation

Reason for N/A?

**\*6.1.4** Does your company measure its CO2 emissions?

Please attach relevant documentation

If No, why not?

Reason for N/A?

**\*6.1.5** Does your organization set environmental objectives and targets?

Please attach relevant documentation

Reason for N/A?

**\*6.1.6** Has your company been fined/prosecuted for an environmental infringement over the last three years?

If yes, please provide further details.

Please attach relevant documentation

**\*6.1.7** Does your company take care about environmental criteria within its Supply Chain?

Please attach relevant documentation

Reason for N/A?

### 6.2. Product Related Impacts

**\*6.2.1** Does the product contain potentially hazardous chemicals?

If yes, please supply further details, including guidance for use of these substances.

Reason for N/A?

**\*6.2.2** Has consideration been given to reuse/recycling of the product at end of useful life?

Please attach relevant documentation

Reason for N/A?

**\*6.2.3** Will the supplier take the product back at end of useful life?

Please attach relevant documentation

Reason for N/A?

**\*6.2.4** Does the product meet energy star standards or equivalent?

Please attach relevant documentation

Reason for N/A?

## 7. Politically Exposed Person (PEP)

PEP – based on the directive (EU) 2015/849 and Financial Markets Anti-Money Laundering Act, it is legally required to collect and process information about PEP (politically exposed persons). (questions 7. – 7.2.4)

Conflict of Interest – based on legal requirements and especially Securities Supervision Act, it is necessary to collect and process information about any potential conflict of interest. (questions 7.3 – 7.4.1)

### 7. Politically Exposed Person (PEP)

**\*7.1** Does an individual working for your company hold a position in a prominent public sector with a nation-wide competence, such as a head of state or a head of government, a minister, a deputy or assistant minister, a member of parliament, a member of the supreme court, the constitutional court or of the other high-level judicial body decisions of which are not subject to further appeal except in exceptional circumstances, a member of the court of auditors, a member of the supreme body of a central bank, a high-ranking officer in the armed forces or corps, a member of an administrative, management or supervisory board of a state-owned enterprise, an ambassador or a chargé d'affaires, or an individual holds a similar position in the bodies of the European Union or other international organisations, or is in an additional one year period after the termination of holding such position?

If yes, name of this person?

If yes, does he/she have a residence outside the country of domicile?

If yes, does he/she hold such important public position outside the country of domicile?

### 7.2 Is an individual working for your company

**\*7.2.1** A spouse, partner or similarly related person or a parent of a person as described under 7.1?

If yes, name of this person?

**\*7.2.2** A son or daughter of a person as described under 7.1 or a spouse, partner or similarly related person of the son or daughter of a person as described under 7.1 (son- or daughter-in-law)?

If yes, name of this person?

**\*7.2.3** A member or beneficial owner of the same legal entity, trust or other similar legal organisation under foreign law as a person as described under 7.1 or somebody who is known to be in any other close business relationship with a person as described under 7.1?

If yes, name of this person?

**\*7.2.4** A beneficial owner of a legal entity, trust or other similar legal organisation under foreign law known to have been created in favour of a person as described under 7.1?

If yes, name of this person?

### 7.3 Is an individual employed in your company

**\*7.3.1.** Related by blood (e.g. parent, child, sibling) to an employee with decision power involved in any relevant business of Erste Group?

If yes, name of this person?

**\*7.3.2.** Related by marriage (spouses) or common law marriage (partner) to an employee with decision power involved in any relevant business of Erste Group?

If yes, name of this person?

### 7.4. Does an individual employed in your company

**\*7.4.1** Have any legal (e.g. owns a company) connections with an employee with decision power involved in any relevant business of Erste Group?

If yes, name of this person?

### 8. Additional Information

Please provide any additional information which will explain any unanswered questions or will provide support for any aspects of your business which are considered critical and may not have been covered above.