

EHS and Social Responsibility Audit at Supplier/ Subcontractor
"Enhanced Approach towards Excellence"



Supplier/ Subcontractor:		Address/location:	
Supplier/ Subcontractor Representatives:			
OSRAM Auditor(s):		Date:	
Audit - Questionnaire:		Results	
		Y, N, N/A	Score
		Recommendations / Comments	
1. EHS management			
a) Has the supplier/subcon set up EHS management system, EMS and/or attained ISO 14001 certification ?			
b) Is there a designated responsible personnel for EHS ?			
c) Is there a Work Council, Safety Committee, Environmental Team and/or EHS department ? Pls. specify.			
d) Are the meetings held regularly by the above teams with involvement of management or reps ?			
e) Are EHS responsibilities included in job description of employees ?			
Please provide documents of EHS policy, ISO 14001 certificate and others wherever applicable.			
2. Social responsibility			
a) Was Code of Conduct for suppliers received, verified, signed and returned to OSRAM Purchasing ?			
b) Are the policies set up and implemented for observing basic human rights as per the Code of Conduct ?			
c) Is there a policy for prohibiting child labour as per the Code of Conduct ?			
d) Are the employees provided with safe workplace and dormitory ?			
e) Is the supplier/subcon involved in any social and environmental protection activities in the community ? Please specify.			
3. EHS objectives			
a) Are EHS objectives set up on regular basis ?			
b) Is there a list of significant EHS objectives ?			
c) Do the EHS objectives lead to improvement of processes for OSRAM products ?			
d) Are objectives set up to phase out any certain hazardous substances ?			
e) Are objectives set up to reduce accident rate ?			
4. Compliance with legal and customer's requirements			
a) Are legal EHS requirements identified, documented and implemented ?			
b) Is there evidence that the customers' requirements are identified, documented and implemented ?			
c) Has the supplier/subcon been free of EHS legal notification by authorities within the last 3 years ?			
d) Was OSRAM Index List Environment received, verified, signed and returned to OSRAM Purchasing ?			
e) Is the supplier/subcon compliant with the requirements as per OSRAM Index List Environment ?			
5. Management of hazardous substances and wastes			
a) Is the list of hazardous substances and/or wastes maintained and reviewed regularly ?			
b) Is there a procedure for handling hazardous substances and/or wastes ?			
c) Are hazardous substances classified/labeled/stored/segregated and risk-assessed at workplace ?			
d) Are the employees trained in handling of hazardous substances and/or wastes ?			
e) Are wastes recycled if possible and hazardous wastes disposed of in legal manner (licensed contractors, approval, storage permits..) ?			

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6. Communication			
a) Are legal and customers' requirements communicated to relevant departments or external parties ?			
b) Is there a procedure for handling customer's enquiries ?			
c) Are EHS issues (including minimization of resources) or hazards communicated to employees ?			
d) Is there a procedure for reporting and addressing unsafe conditions ?			
e) Is there a procedure for crisis communication ?			
7. Environmentally-oriented procurement			
a) Does the supplier/subcon inform its suppliers about legally banned/to be avoided substances ?			
b) Are the OSRAM Index List Environment and Code of Conduct included as part of contract agreement ?			
c) Does the supplier/subcon include the EHS criteria for selecting its suppliers ?			
d) Does the supplier/subcon audit its suppliers with regards to social responsibility, EHS aspects ?			
e) Does the supplier/subcon obtain and provide analysis report for parts, components or materials supplied ?			
8. EHS consideration in product design			
a) Is OSRAM Index List Environment adopted and considered during the product development process?			
b) Are product-related environmental protection criteria incorporated in the product design ?			
c) Are recycling/minimization and environmental compatibility of materials considered ?			
d) Is the request for Material Declaration Sheet included and provided during the Product Design Process?			
e) Is there a checklist for environmentally design for products ?			
9. Assessment, monitoring and resource management			
a) Are audits regularly conducted by internal or external experts ? (e.g. fire, emergency planning..)			
b) Are audit findings addressed and are there adequate control measures for minimizing EHS hazards ?			
c) Are consumption of energy, water, gases, packing materials, chemicals monitored/assessed regularly and minimized if possible?			
d) Are air emission, water discharge, hazardous wastes and noise level monitored / assessed regularly and minimized if possible?			
e) Is personal noise and chemical exposure assessment carried out regularly ?			
(Please provide evidence of the records of all the above)			
10. Fire protection			
a) Is sprinkler protection provided for production and/or storage areas?			
b) Is a smoke detection system installed in production/storage areas?			
c) Is a smoke ventilation system installed in production/storage areas?			
d) Are fire separations between production and storage areas?			
e) Is an ERT implemented, adequately equipped and trained?			
(Please provide evidence of the records of all the above)			
Number of non-applicable audit criteria			

Note: EHS - Environmental, Health and Safety; EMS - Environmental Management System