

**LOTTE**  
**SHOPPING**

# Self-assessment for LOTTE Shopping's Partner Companies



# 1. Ethical Management

1-1. Has your company been fined or ordered to take corrective measures for violating the Monopoly Regulation and Fair Trade Act and its enforcement decree over the past three years? If your answer is no, has your company taken measures to prevent such violations or conducted monitoring to avoid breaches in advance?

Score	Description	Answer
1	The company has been fined or ordered for corrective measures for violating the 『Monopoly Regulation and Fair Trade Act』 and its enforcement decree over the past one year. (Describe the reason for a violation and specify the number of times.)	
2	The company has been fined or ordered for corrective measures for violating the 『Monopoly Regulation and Fair Trade Act』 and its enforcement decree over the past three years. (Describe the reason for a violation such as leak of personal information or violation of the management rules and specify the number of times.)	
3	The company has complied with the 『Monopoly Regulation and Fair Trade Act』 and its enforcement decree.	
4	The company has complied with the 『Monopoly Regulation and Fair Trade Act』 and its enforcement decree. Also, it revises the internal rules to prevent violations when the related laws are amended.	
5	The company has complied with the 『Monopoly Regulation and Fair Trade Act』 and its enforcement decree. Also, it conducts monitoring consistently to prevent any possible violation.	

\*Legal basis

1. Domestic law : The entire text of the 『Monopoly Regulation and Fair Trade Act』 , 『Act on the Prevention of Corruption and the Establishment and Management of the Anti-corruption and Civil Rights Commission』 Article 2

1-2. Has your company been fined or ordered to take corrective measures for violating the 『Fair Transactions in Subcontracting Act』 and its enforcement decree over the past three years? If your answer is no, has your company performed measures to prevent such violations or monitoring to prevent breaches in advance?

Score	Description	Answer
1	The company has been fined or ordered for corrective measures for violating the 『Fair Transactions in Subcontracting Act』 and its enforcement decree over the past one year. (Describe the reason for a violation and specify the number of times.)	
2	The company has been fined or ordered for corrective measures for violating the 『Fair Transactions in Subcontracting Act』 and its enforcement decree over the past three years. (Describe the reason for a violation such as leak of personal information or violation of the management rules and specify the number of times.)	
3	The company has complied with the 『Fair Transactions in Subcontracting Act』 and its enforcement decree.	
4	The company has complied with the 『Fair Transactions in Subcontracting Act』 and its enforcement decree. Also, it revises the internal rules to prevent violations when the related laws are amended.	
5	The company has complied with the 『Fair Transactions in Subcontracting Act』 and its enforcement decree. Also, it conducts monitoring consistently to prevent any possible violation.	

\*Legal basis

1. Domestic law: The entire text of the 『Fair Transactions in Subcontracting Act』

**1-3. Does your company have a procedure/system to protect the personal information of customers and employees? If your answer is yes, is the procedure/system being implemented properly?**

Score	Description	Answer
1	The company doesn't have a procedure/system to protect the personal information of customers and employees.	
2	The company has a procedure/system to protect the personal information of customers and employees. But the procedure/system is not being implemented properly.	
3	The company doesn't have a procedure/system to protect the personal information of customers and employees. Still, related efforts are put into the course of duties.	
4	The company has a procedure/system to protect the personal information of customers and employees, and the procedure/program is being implemented only to a legitimate level.	
5	The company has developed details of a procedure/system to protect the personal information of customers and employees, and the procedure/program is being implemented actively.	

**\*Legal basis**

1. Domestic law : The entire text of the 『Personal Information Protection Act』
2. International law : 『OECD Guidelines for Multinational Enterprises(2011)』 VIII. Consumer Interests (6), 『EICC (Electronic Industry Citizenship Coalition) (2016)』

**1-4. Does your company have a documented code of ethics and conduct, including anti-corruption regulations to ban embezzlement, corruption, and bribery? If your answer is yes, is the code of ethics and conduct being used in the course of duties?**

Score	Description	Answer
1	The company doesn't have a documented code of ethics and conduct, including anti-corruption regulations to ban embezzlement, corruption, and bribery.	
2	The company has a documented code of ethics and conduct, including anti-corruption regulations to ban embezzlement, corruption, and bribery. Still, the code of ethics and conduct is not being used in the course of duties.	
3	The company doesn't have a documented code of ethics and conduct, including anti-corruption regulations to ban embezzlement, corruption, and bribery. Still, related efforts are put into the course of duties.	
4	The company has a documented code of ethics and conduct, including anti-corruption regulations to ban embezzlement, corruption, and bribery, and the code of ethics and conduct is being implemented only to a legitimate level.	
5	The company has a documented code of ethics and conduct, including anti-corruption regulations to ban embezzlement, corruption, and bribery, and the code of ethics and conduct is being implemented actively.	

**\*Legal basis**

1. Domestic law : Proposed amendment of the Financial Investment Services and Capital Markets Act (Proposed by lawmaker Unju Lee, 2013.07.19, No. 6080), Article 159 (2). The proposal aims to include items related to ethical management in business reports, including whistle-blowers protection measures for illegal corporate acts and efforts to eradicate bribery and corruption. (The proposal is expected to be passed at the national assembly.)
2. International law : 『OECD Guidelines for Multinational Enterprises(2011)』 VII. Combating Bribery, Bribe Solicitation and Extortion (2), (5)

**1-5. Does your company have a documented procedure/program for internal and external stakeholders to report employees' unethical activities or matters suspected of a law violation? If your answer is yes, is the procedure/program being implemented properly?**

Score	Description	Answer
1	The company doesn't have a documented procedure/program for internal and external stakeholders to report employees' unethical activities or matters suspected of a law violation.	
2	The company has a documented procedure/program for internal and external stakeholders to report employees' unethical activities or matters suspected of a law violation. But the procedure/program is not being implemented properly.	
3	The company doesn't have a documented procedure/program for internal and external stakeholders to report employees' unethical activities or matters suspected of a law violation. Still, related efforts are put into the course of duties.	
4	The company has a documented procedure/program for internal and external stakeholders to report employees' unethical activities or matters suspected of a law violation. The procedure/program is being implemented only to a legitimate level.	
5	The company has a documented procedure/program for internal and external stakeholders to report employees' unethical activities or matters suspected of a law violation. The procedure/program is being implemented actively.	

**\*Legal basis**

1. Domestic law : 『Act on the Prevention of Corruption and the Establishment and Management of the Anti-corruption and Civil Rights Commission』 Article 5 (5)
2. International law : 『OECD Guidelines for Multinational Enterprises(2011)』 VII. Combating Bribery, Bribe Solicitation and Extortion (5), (6)

**1-6. Does your company have a procedure/system to protect the intellectual properties and corporate information of customers and suppliers? If your answer is yes, is the procedure/system being implemented properly?**

Score	Description	Answer
1	The company doesn't have a procedure/system to protect the intellectual properties and corporate information of customers and suppliers.	
2	The company has a procedure/system to protect the intellectual properties and corporate information of customers and suppliers. But the procedure/system is not being implemented properly.	
3	The company doesn't have a procedure/system to protect the intellectual properties and corporate information of customers and suppliers. Still, related efforts are put into the course of duties.	
4	The company has a procedure/system to protect the intellectual properties and corporate information of customers and suppliers. The procedure/system is being implemented only to a legitimate level.	
5	The company has a procedure/system to protect the intellectual properties and corporate information of customers and suppliers. The procedure/system is being implemented actively.	

**\*Legal basis**

1. Domestic law : 『Act on the Promotion of Mutually Beneficial Cooperation Between Large Enterprises and Small and Medium Enterprises』 Article 24 (2)
2. International law : 『EICC (Electronic Industry Citizenship Coalition) (2016)』 Ethics (6) Intellectual Property

**1-7. Does your company have a documented procedure/program to investigate and take disciplinary measures for an unethical act or law violation? If your answer is yes, is the procedure/program being implemented properly?**

Score	Description	Answer
1	The company doesn't have a documented procedure/program to investigate and take disciplinary measures for an unethical act or law violation.	
2	The company has a documented procedure/program to investigate and take disciplinary measures for an unethical act or law violation. But the procedure/program is not being implemented properly.	
3	The company doesn't have a documented procedure/program to investigate and take disciplinary measures for an unethical act or law violation. Still, related efforts are put into the course of duties.	
4	The company has a documented procedure/program to investigate and take disciplinary measures for an unethical act or law violation. The procedure/program is being implemented only to a legitimate level.	
5	The company has a documented procedure/program to investigate and take disciplinary measures for an unethical act or law violation. The procedure/program is being implemented actively.	

\*Legal basis

- Domestic law : 『Equal Employment Opportunity and Work-family Balance Assistance Act』 Article 13, 『Act on the Employment Promotion and Vocational Rehabilitation of Persons with Disabilities』 Article 5, 『Labor Standards Act』 Article 23
- International law : EICC (Electronic Industry Citizenship Coalition) Code of Conduct (2016), 『Labor (5) Humane Treatment』

**1-8. Does your company have a documented procedure/program to protect a member's identity who reports an unethical act or a law violation? If your answer is yes, is the procedure/program being implemented properly?**

Score	Description	Answer
1	The company doesn't have a documented procedure/program to protect a member's identity who reports an unethical act or a law violation.	
2	The company has a documented procedure/program to protect a member's identity who reports an unethical act or a law violation. But the procedure/program is not being implemented properly.	
3	The company doesn't have a documented procedure/program to protect a member's identity who reports an unethical act or a law violation. Still, related efforts are put into the course of duties.	
4	The company has a documented procedure/program to protect a member's identity who reports an unethical act or a law violation. The procedure/program is being implemented only to a legitimate level.	
5	The company has a detailed and documented procedure/program to protect a member's identity who reports an unethical act or a law violation. The procedure/program is being implemented actively.	

\*Legal basis

- Domestic law : 『Act on the Prevention of Corruption and the Establishment and Management of the Anti-corruption and Civil Rights Commission』 Article 3
- International law : 『OECD Guidelines for Multinational Enterprises(2011)』 II. General Policies (9), 『EICC (Electronic Industry Citizenship Coalition) Code of Conduct (2016)』 Ethics (6) Protection of Identity and Non-Retaliation.

1-9. Does your company have a procedure/system to protect personal information of customers and suppliers? If your answer is yes, is the procedure/system being implemented properly?

Score	Description	Answer
1	The company doesn't have a procedure/system to protect personal information of customers and suppliers.	
2	The company has a procedure/system to protect personal information of customers and suppliers. But the procedure/system is not being implemented properly.	
3	The company doesn't have a procedure/system to protect personal information of customers and suppliers. Still, related efforts are put into the course of duties.	
4	The company has a procedure/system to protect personal information of customers and suppliers. The procedure/system is being implemented only to a legitimate level.	
5	The company has developed details of a procedure/system to protect personal information of customers and suppliers. The procedure/system is being implemented actively.	

\*Legal basis

1. Domestic law : 『Personal Information Protection Act』 Article 3

2. International law : 『OECD Guidelines for Multinational Enterprises(2011)』 VIII. Consumer Interests (6), 『EICC (Electronic Industry Citizenship Coalition) (2016)』 Ethics (8) Privacy

## 2. Human Rights Management

2-1. Has your company been fined or ordered to take corrective measures for violating the 『Labor Standards Act』 and its enforcement decree over the past three years? If your answer is no, has your company performed measures to prevent such violations or monitoring to prevent breaches in advance?

Score	Description	Answer
1	The company has been fined or ordered for corrective measures for violating the 『Labor Standards Act』 and its enforcement decree over the past one year. (Describe the reason for a violation and specify the number of times.)	
2	The company has been fined or ordered for corrective measures for violating the 『Labor Standards Act』 and its enforcement decree over the past three years. (Describe the reason for a violation such as leak of personal information or violation of the management rules and specify the number of times.)	
3	The company has complied with the 『Labor Standards Act』 and its enforcement decree.	
4	The company has complied with the 『Labor Standards Act』 and its enforcement decree. Also, it revises the internal rules to prevent violations when the related laws are amended.	
5	The company has complied with the 『Labor Standards Act』 and its enforcement decree. Also, it conducts monitoring consistently to prevent any possible violation.	

\*Legal basis

1. Domestic law : The entire text of the 『Labor Standards Act』
2. International law: 『ILO RULES OF THE GAME A brief introduction to International Labour Standards (2014)』 Migrant Workers - Migration for Employment Convention (Revised), 1949 (No. 97)

2-2. Does your company manage labor hours of workers? If your answer is yes, can workers check an individual's labor hour records before the wage determination and receive a detailed wage statement?

Score	Description	Answer
1	The company doesn't manage workers' labor hours.	
2	Workers don't receive or check an individual's labor hour records.	
3	Workers receive an individual's labor hour records with a wage statement.	
4	Workers can check an individual's labor hour records before wage calculation.	
5	Workers record their labor hours and sign on them before wage calculation.	

\*Legal basis

1. Domestic law : 『Labor Standards Act』 Article 50 and 51
2. International law: 『ILO RULES OF THE GAME A brief introduction to International Labour Standards (2014)』 Working Time - Hours of Work (Industry) Convention, 1919 (No. 1), Hours of Work (Commerce and Offices) Convention, 1930 (No. 30), 『EICC (Electronic Industry Citizenship Coalition) Code of Conduct (2016)』 Labor (3) Working Hours

2-3. Does your company assign overtime to workers who want to work overtime? If your answer is yes, does your company keep overtime records and comply with related rules, including 60 work hours per week?

Score	Description	Answer
1	Some workers work overtime without their agreement.	
2	The company assigns overtime to workers who want to work overtime, but doesn't keep the overtime records.	
3	The company assigns overtime to workers who want to work overtime, but the total work hours exceed 60 hours per week.	
4	The company assigns overtime to workers who want to work overtime, but related matters such as overtime calculation methods or record forms are not being used properly.	
5	The company assigns overtime to workers who want to work overtime and manages related matters in accordance with relevant laws.	

\*Legal basis

1. Domestic law: 『Labor Standards Act』 Article 53 and 56, 『Act on the Protection of and Part-time Employees』 Article 6

2-4. Does your company have a specified and designated day off for workers? Is a day off guaranteed as a weekly rest at your company?

Score	Description	Answer
1	There is no designated day off.	
2	There is no designated day off. Still, the company allows a day off sometimes.	
3	The company has a specified and designated day off, but the related rules don't match the legal standards.	
4	The company has a specified and designated day off. Still, workers sometimes work for 7 days per week.	
5	A day off is guaranteed as a weekly rest at the company.	

\*Legal basis

1. International law: 『ILO RULES OF THE GAME A brief introduction to International Labour Standards (2014)』 Working Time - Weekly Rest (Industry) Convention, 1921 (No. 14), Weekly Rest (Commerce and Offices) Convention, 1957 (No. 106), 『EICC (Electronic Industry Citizenship Coalition) Code of Conduct (2016)』 Labor (3) Working Hours

2-5. Do your company's employees subscribe to four major insurance programs? If your answer is yes, are all employees of your company, including regular, irregular, and daily workers, covered by the four major insurances? Does your company document individual employees' insurance records?

Score	Description	Answer
1	Employees don't subscribe to four major insurance programs.	
2	Only regular employees subscribe to four major insurance programs, but the company doesn't keep individual employees' statements of insurance calculation.	
3	Only regular employees subscribe to four major insurance programs, and the company keeps individual employees' statements of insurance calculation.	
4	All employees, including regular, irregular, daily, and part-time workers, subscribe to four major insurance programs. Still, the company doesn't document individual employees' statements of insurance calculation.	
5	All employees, including regular, irregular, daily, and part-time workers, subscribe to four major insurance programs. Also, the company documents individual employees' statements of insurance calculation.	

\*Legal basis

1. Domestic law : 『National Pension Act』 Article 8, 『Employment Insurance Act』 Article 8, 『Industrial Accident Compensation Insurance Act』 Article 6, 『National Health Insurance Act』 Article 7

2-6. Has there been any case(s) of inhumane acts such as sexual harassment, abuse, corporal punishment, and verbal abuse over the past three years? If your answer is no, has there been any case(s) of inhumane acts besides the above-said ones? Does your company actively conduct monitoring of any possible inhumane act?

Score	Description	Answer
1	There has been any case(s) of inhuman acts such as sexual harassment, abuse, corporal punishment, and verbal abuse over the past one year.	
2	There has been any case(s) of inhuman acts such as sexual harassment, abuse, corporal punishment, and verbal abuse over the past three years.	
3	There has been any case(s) of inhumane acts. But the company took corrective and improvement measures to eradicate it.	
4	There has been no case of inhumane acts.	
5	There has been no case of inhumane acts, and the company actively conducts monitoring of any possible inhumane act.	

\*Legal basis

1. Domestic law : 『Equal Employment Opportunity and Work-family Balance Assistance Act』 Article 12.  
International law: 『UN SUPPLIER CODE OF CONDUCT (2013)』 Human Rights (11) Harassment, Harsh or Inhumane Treatment, 『EICC (Electronic Industry Citizenship Coalition) Code of Conduct (2016)』 Labor (5) Humane Treatment

**2-7. Does your company have regulations and disciplinary procedures for inhumane acts inside the company? Does it have a training program? Is it being operated properly?**

Score	Description	Answer
1	The company doesn't have any regulations or disciplinary procedures for inhumane acts inside the company.	
2	The company has regulations or disciplinary procedures for inhumane acts inside the company. Still, those are not being implemented properly.	
3	The company has regulations or disciplinary procedures for inhumane acts inside the company but it doesn't have any training program.	
4	The company has regulations or disciplinary procedures for inhumane acts inside the company and a training program. Still, they are not being implemented properly.	
5	The company has regulations or disciplinary procedures for inhumane acts inside the company and a training program. They are being implemented properly.	

**\*Legal basis**

1. Domestic law : 『Equal Employment Opportunity and Work-family Balance Assistance Act』 Article 13, 『Act on the Employment Promotion and Vocational Rehabilitation of Persons with Disabilities』 Article 5, 『Labor Standards Act』 Article 23
2. International law: 『EICC (Electronic Industry Citizenship Coalition) Code of Conduct (2016)』 Labor (5) Humane Treatment

**2-8. Does your company have a channel/procedure to handle grievances from inhumane acts? If your answer is yes, are they being operated according to related regulations? Does the company make efforts consistently to improve them?**

Score	Description	Answer
1	The company doesn't have a channel/procedure to handle grievances from inhumane acts.	
2	The company has a channel/procedure to handle grievances from inhumane acts. Still, those are not properly stipulated.	
3	The company has a channel/procedure to handle grievances from inhumane acts. Still, those are not properly operated.	
4	The company has a channel/procedure to handle grievances from inhumane acts.	
5	The company has a channel/procedure to handle grievances from inhumane acts. They are operated according to related regulations, and the company makes efforts consistently to improve them.	

**\*Legal basis**

1. Domestic law: 『Equal Employment Opportunity and Work-family Balance Assistance Act』 Article 14, 24 and 25, 『Act on the Promotion of Employees' Participation and Cooperation』 Article 26 and 28

2-9. Does your company have internal guidelines/regulations to ban minority discrimination?

If your answer is yes, can employees access the guideline and regulations easily? Are they implemented properly and shared internally?

Score	Description	Answer
1	The company doesn't have internal guidelines/regulations against minority discrimination.	
2	The company has internal guidelines/regulations against minority discrimination. Still, the guidelines/regulations are different from the legal standards.	
3	The company has internal guidelines/regulations against minority discrimination. Still, the guidelines/regulations are not implemented/managed properly.	
4	The internal guidelines/regulations against minority discrimination are being implemented properly. Still, it is not easy for workers to access them.	
5	The internal guidelines/regulations against minority discrimination are being implemented properly and shared internally.	

\*Legal basis

1. Domestic law :

- 『Labor Standards Act』 Article 6 and 74
- 『Act on the Employment of Foreign Workers』 Article 22
- 『Framework Act on Labor Welfare』 Article 3
- 『Equal Employment Opportunity and Work-family Balance Assistance Act』 Article 2, Article 7-11
- 『Act on the Protection of Fixed-term and Part-time Employees』 Article 8 and 9
- 『Act on the Employment Promotion and Vocational Rehabilitation of Persons with Disabilities』 Article 5
- 『Act on Prohibition of Age Discrimination in Employment and Elderly Employment Promotion』 Article 4, Article 4 (4)

2. International law :

- 『UN ' s Women ' s Empowerment Principles (2011)』 2. Equal Opportunity, Inclusion and Nondiscrimination
- 『UN Human Rights Declaration 2016』 Article 2 (1) and Article 23 (2)
- 『OECD Guidelines for Multinational Enterprises(2011)』 V. Employment and Industrial Relations 1(e)
- 『ILO RULES OF THE GAME A brief introduction to International Labour Standards(2014)』 Equality of Opportunity and Treatment Discrimination (Employment and Occupation) Convention, 1958 (No. 111)
- 『UN SUPPLIER CODE OF CONDUCT (2013)』 Labour (7) Discrimination
- 『EICC (Electronic Industry Citizenship Coalition) Code of Conduct (2016)』 Labor (6) Non-Discrimination

# 3. Environmental Management

3-1. Has your company violated 『Clean Air Conservation Act』 , 『Water Environment Conservation Act』 , 『Soil Environment Conservation Act』 , 『Waste Control Act』 , 『Chemical Substances Control Act』 and their enforcement decrees over the past three years?

Score	Description	Answer
1	The company has been punished, fined, or imposed with a minor fine, or the company's qualification as a tender has been restricted in contracts with the State or a local government for violating 『Clean Air Conservation Act』 , 『Water Environment Conservation Act』 , 『Soil Environment Conservation Act』 , 『Waste Control Act』 , 『Chemical Substances Control Act』 and their enforcement decrees over the past one year.	
2	The company has been punished, fined, or imposed with a minor fine, or the company's qualification as a tender has been restricted in contracts with the State or a local government for violating 『Clean Air Conservation Act』 , 『Water Environment Conservation Act』 , 『Soil Environment Conservation Act』 , 『Waste Control Act』 , 『Chemical Substances Control Act』 and their enforcement decrees over the past three years.	
3	The company has been punished with the monetary disposition by the administrative authority, such as an administrative fine, a sanction, or a charge for compelling compliance, for violating 『Clean Air Conservation Act』 , 『Water Environment Conservation Act』 , 『Soil Environment Conservation Act』 , 『Waste Control Act』 , 『Chemical Substances Control Act』 and their enforcement decrees over the past three years.	
4	The company has been punished with the non-monetary disposition by the administrative authority, such as a corrective order, a corrective recommendation, or a warning, for violating 『Clean Air Conservation Act』 , 『Water Environment Conservation Act』 , 『Soil Environment Conservation Act』 , 『Waste Control Act』 , 『Chemical Substances Control Act』 and their enforcement decrees over the past three years.	
5	The company has complied with 『Clean Air Conservation Act』 , 『Water Environment Conservation Act』 , 『Soil Environment Conservation Act』 , 『Waste Control Act』 , 『Chemical Substances Control Act』 and their enforcement decrees over the past three years.	

\*Legal basis

1. Domestic law : 『Framework Act on Environmental Policy』, 『Act on the Integrated Control of Pollutant-discharging Facilities』, 『Act on the Control and Aggravated Punishment of Environmental Offenses』
2. International law: 『GRI standards – 307(Environmental Compliance)』 , Global Reporting Initiative, 2016

**3-2. Does your company keep records of energy consumption over the past three years? Does your company use the past energy consumption data for a program to improve energy efficiency? If your answer is yes, is it actively reflected in the course of duties?**

Score	Description	Answer
1	The company doesn't keep energy consumption records over the past three years.	
2	The company has kept energy consumption records over the past three years but doesn't operate a program to improve energy efficiency based on the data.	
3	The company has kept energy consumption records over the past three years and operates a program to improve energy efficiency based on the data. Still, the program is not being implemented in the course of duties.	
4	The company has kept energy consumption records over the past three years and operates a program to improve energy efficiency based on the data. The program is being implemented in the course of duties only to a legitimate level.	
5	The company has kept energy consumption records over the past three years and operates a program to improve energy efficiency based on the data. The program is being implemented in the course of duties actively.	

\*Legal basis

1. Domestic law : 「Energy Act」, 「Guidelines on the Greenhouse Gas Energy Goal Management and Operation」, 「Framework Act on Low Carbon, Green Growth」
2. International law : 「Corporate Sustainability Assessment Companion」, S&P Global Inc., 2021

**3-3. Has your company kept records of greenhouse gas intensity over the past three years? Is the greenhouse gas emission on the decrease? Does your company operate a program to cut greenhouse gas emissions?**

Score	Description	Answer
1	The company doesn't keep records of greenhouse gas intensity over the past three years.	
2	The company has kept records of greenhouse gas intensity over the past three years. However, greenhouse gas emissions are rising, and the company doesn't have a program to cut greenhouse gas emissions.	
3	The company has kept records of greenhouse gas intensity over the past three years and maintained stable emissions. However, the company doesn't have a program to cut greenhouse gas emissions.	
4	The company has kept records of greenhouse gas intensity over the past three years and maintained stable emissions. Also, the company operates a program to cut greenhouse gas emissions.	
5	The company has kept records of greenhouse gas intensity over the past three years. Greenhouse gas emissions are decreasing, and the company operates a program to cut greenhouse gas emissions.	

\*Legal basis

1. Domestic law : 「Act on the Allocation and Trading of Greenhouse Gas Emission Permits」, 「Guidelines on Greenhouse Gas Emissions Report and Certification in the Emissions Trading System」, 2006 IPCC National Inventory Guideline Basic Emission Factor (Related to Article 15 (1))
2. Domestic publications : 「2020 National Inventory Report」
3. International law : 「Kyoto Protocol to the united nations framework convention on climate change」
4. International standard : 「Corporate Sustainability Assessment Companion」, S&P Global Inc.

3-4. Has your company kept records of waste intensity over the past three years? Is the waste amount on the decrease? Does your company operate a program to improve recycling and cut waste amount?

Score	Description	Answer
1	The company doesn't keep records of waste intensity over the past three years.	
2	The company has kept records of waste intensity over the past three years. However, waste amount is rising, and the company doesn't have a program to improve recycling and cut waste amount.	
3	The company has kept records of waste intensity over the past three years and maintained a stable waste amount. However, the company doesn't have a program to improve recycling and cut waste amount.	
4	The company has kept records of waste intensity over the past three years and maintained a stable waste amount. Also, the company operates a program to improve recycling and cut waste amount.	
5	The company has kept records of waste intensity over the past three years. Waste amount is decreasing, and the company operates a program to improve recycling and cut waste amount.	

\*Legal basis

1. Domestic law : 「Waste Control Act」 , 「Enforcement Decree of the Waste Control Act」

3-5. Has your company kept records of air pollutant intensity over the past three years? Is the air pollution density on the decrease? Does your company operate a program to improve air pollutants and chemical management?

Score	Description	Answer
1	The company doesn't keep records of air pollutant intensity over the past three years.	
2	The company has kept records of the air pollutant intensity over the past three years. However, air pollution density is rising, and the company doesn't have a program to improve air pollutants and chemical management.	
3	The company has kept records of air pollutant intensity over the past three years and maintained a stable air pollution density. However, the company doesn't have a program to improve air pollutants and chemical management.	
4	The company has kept records of air pollutant intensity over the past three years and maintained a stable air pollution density. Also, the company operates a program to improve air pollutants and chemical management.	
5	The company has kept records of air pollutant intensity over the past three years. Air pollution density is decreasing, and the company operates a program to improve air pollutants and chemical management.	

\*Legal basis

1. Domestic law : 「Clean Air Conservation Act」, 「Enforcement Decree of the Clean Air Conservation Act」, 「Special Act on the Improvement of Air Quality in Air Control Zones」, 「Enforcement Decree of the Special Act on the Improvement of Air Quality in Air Control Zones」

2. International standard : 「GRI Standards - 305(Emission)」

3-6. Does your company keep records of water consumption over the past three years? Is the water consumption decreasing? Also, does your company operate a program to improve water recycling and cut water consumption?

Score	Description	Answer
1	The company doesn't keep records of water consumption over the past three years.	
2	The company has kept records of water consumption over the past three years. Still, water consumption is rising, and the company doesn't operate a program to improve water recycling and cut water consumption.	
3	The company has kept records of water consumption over the past three years and maintained a stable water consumption. However, the company doesn't have a program to improve water recycling and cut water consumption.	
4	The company has kept records of water consumption over the past three years and maintained a stable water consumption. Also, the company operates a program to improve water recycling and cut water consumption.	
5	The company has kept records of water consumption over the past three years. Water consumption is decreasing, and the company operates a program to improve water recycling and cut water consumption.	

\*Legal basis

1. Domestic law : 「Framework Act on Water Management」, 「Water Environment Conservation Act」
2. International standard : 「Corporate Sustainability Assessment Companion」, S&P Global Inc.)

## 4. Safety Management

4-1. Has your company violated the 『Occupational Safety and Health Act』 and its enforcement decree? If your answer is no, does the company revise internal regulations to prevent violations in advance and consistently conduct monitoring to avoid any possible violation?

Score	Description	Answer
1	The company has been fined or ordered for corrective measures for violating the 『Occupational Safety and Health Act』 and its enforcement decree during the past one year. (Describe the reason for a violation and specify the number of times.)	
2	The company has been fined or ordered for corrective measures for violating the 『Occupational Safety and Health Act』 and its enforcement decree during the past three years. (Describe the reason for a violation such as leak of personal information or violation of the management rules and specify the number of times.)	
3	The company has complied with the 『Occupational Safety and Health Act』 and its enforcement decree.	
4	The company has complied with the 『Occupational Safety and Health Act』 and its enforcement decree and revises the internal rules to prevent violations when the related laws are amended.	
5	The company has complied with the 『Occupational Safety and Health Act』 and its enforcement decree and conducts monitoring consistently to prevent any possible violation.	

\*Legal basis

- Domestic law : 「Safety and Health Management System Guidebook」 for Prevention of Industrial Accidents, 「Occupational Safety and Health Act」 , 「Occupational Safety and Health Rules」 , 「Occupational Safety and Health Management System (KOSHA-MS) Certification Rules」
- International standard : 「ISO 45001」

4-2. Is your company's industrial accident rate decreasing? Is the company's industrial accident rate of the previous year below the industry average?

Score	Description	Answer
1	The company doesn't keep records of industrial accident rates over the past three years.	
2	The company's industrial accident rates have increased over the past three years. (Specify reasons for industrial accidents, the death toll, and the industrial disaster rate.)	
3	There has been no change in the industrial accident rates over the past three years. (Specify reasons for industrial accidents, the death toll, and the industrial disaster rate.)	
4	The company's industrial accident rates have decreased over the past three years. (Specify reasons for industrial accidents, the death toll, and the industrial disaster rate.)	
5	The company's industrial accident rates have decreased over the past three years, and the industrial accident rate of the previous year is below the industry average.	

\*Legal basis

- Domestic law : 「Serious Accident Punishment Act」 , 「Industrial Accident Statistics Rules」
- International standard : 「GRI Standards – 403(Occupational Health and Safety)」 , 「Corporate Sustainability Assessment Companion」

4-3. Does your company have a documented process to prevent workers from risk factors such as harmful chemistry, noise, and dust, and inspect the work environment regularly? If your answer is yes, is it being implemented properly and actively?

Score	Description	Answer
1	The company doesn't have a process to prevent workers from risk factors such as harmful chemistry, noise, and dust.	
2	The company has a documented process to prevent workers from risk factors such as harmful chemistry, noise, and dust, and inspect the work environment regularly. However, it is not being implemented properly.	
3	The company doesn't have a documented process to prevent workers from risk factors such as harmful chemistry, noise, and dust, and inspect the work environment regularly. Still, related efforts are put into the course of duties.	
4	The company has a documented process to prevent workers from risk factors such as harmful chemistry, noise, and dust, and inspect the work environment regularly. The process is being implemented only to a legitimate level.	
5	The company has a documented process to prevent workers from risk factors such as harmful chemistry, noise, and dust, and inspect the work environment regularly. The process is being implemented actively.	

\*Legal basis

1. Domestic law : 「Safety and Health Management System Guidebook」 for Prevention of Industrial Accidents, 「Occupational Safety and Health Act」 , 「Occupational Safety and Health Rules」 , 「Occupational Safety and Health Management System (KOSHA-MS) Certification Rules」
2. International standard : 「ISO 45001」

4-4. Does your company have an industrial accident risk assessment system/process? Does the process include measures to identify and remove root causes of industrial risks? Is it being implemented actively?

Score	Description	Answer
1	The company doesn't have an industrial accident risk assessment system/process.	
2	The company has an industrial accident risk assessment system/process. However, it is not being implemented properly.	
3	The company has an industrial accident risk assessment system/process, and the process includes measures to identify and remove root causes of industrial risks. Still, it is not being implemented properly.	
4	The company has an industrial accident risk assessment system/process, and the process includes measures to identify and remove root causes of industrial risks. The process is being implemented only to a legitimate level.	
5	The company has an industrial accident risk assessment system/process, and the process includes measures to identify and remove root causes of industrial risks. The process is being implemented actively.	

\*Legal basis

1. Domestic law : 「Occupational Safety and Health Act」 , 「Industrial Accident Compensation Insurance Act」 , 「Serious Accident Punishment Act」
2. International standard : 「GRI Standards」, 「ISO 31000」

4-5. Does your company require site workers to wear essential safety equipment? Does the company conduct safety inspections regularly before and after work? Does it conduct safety training and equipment monitoring to prevent accidents?

Score	Description	Answer
1	The company doesn't manage site workers' use of essential safety equipment.	
2	The company requires site workers to wear essential safety equipment. Still, it doesn't conduct safety inspections regularly.	
3	The company requires site workers to wear essential safety equipment. Also, it conducts safety inspections regularly before and after work.	
4	The company requires site workers to wear essential safety equipment and conducts safety inspections regularly before and after work. It also conducts safety training regularly to prevent safety accidents.	
5	The company requires site workers to wear essential safety equipment and conducts safety inspections regularly before and after work. It also conducts safety training and equipment monitoring regularly to prevent safety accidents.	

\*Legal basis

1. Domestic law : 「Safety and Health Management System Guidebook」 for Prevention of Industrial Accidents, 「Occupational Safety and Health Act」 , 「Occupational Safety and Health Rules」 , 「Occupational Safety and Health Management System (KOSHA-MS) Certification Rules」
2. International standard : 「ISO 45001」