

PAS 7000:2014

Supply chain risk management – Supplier prequalification



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Foreword

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0 Introduction

0.1 Why do we need to know our supply chain partners?

Most organizations have good information on the top 15% of their suppliers. This implies that they do not have good information on 85% of their direct suppliers, and very often have little or no knowledge of the factory, people and machinery providing the product, service or works, which are being sourced.

Concern about supply chain risk is growing significantly. The risk landscape is evolving as the definition of quality changes to include non-physical attributes such as environmental, social and ethical impacts as well as integrity, security and organizational behaviour issues. In addition, supply chains are becoming more and more complex, and organizations are increasingly vulnerable to loss of brand reputation and risk of financial loss, resulting from supplier performance, environmental impact, natural disasters, cargo disruptions, counterfeiting incidents, breaches of labour laws, and other factors that have the potential to significantly damage reputation.

PAS 7000 is a publicly available specification (PAS) that establishes a model of the governance, risk and compliance (GRC) information necessary for buyers to pre-qualify suppliers and confirm their intention and ability, to adhere to key compliance requirements. In effect providing a "GRC passport to doing business".

PAS 7000 helps to answer the three key questions relating to any organization's supply chain partners 'Who are they? Where are they? Can they be relied upon?'

0.2 How does a prequalification process help?

For the purpose of prequalification, it is essential that suppliers are able to demonstrate that they possess or have access to, and apply the principles of good governance. These include qualifications, references, competence, quality, reliability, corporate social responsibility and environmental and security compliance capabilities, to the extent necessary for them to be accepted as appropriate to supply products, deliver services or undertake works, for a potential buyer.

PAS 7000 provides for both buyers and suppliers direction on the scope of activities required to deliver an effective GRC strategy providing assistance to both supplying and buying organizations, in the implementation of a basic GRC policy, covering framework, resources (technology, people and processes), review, monitor and improvement.

PAS 7000 provides a uniformly applicable statement of good practice in the field of GRC, setting out the content, format and use of the information that is relevant to the prequalification of suppliers in all supply chain situations. It enables organizations at all levels to establish the GRC requirements that they should seek to encourage in their respective supply chains.

The underlying principle of the PAS 7000 approach is therefore to encourage the universal, uniform use of a set of common information in a manner that significantly reduces duplication of effort in its provision for suppliers, and avoids unnecessary evaluation activity for buyers, delivering cost saving and efficiency improvement for both.

0.3 What is the PAS 7000 approach?

PAS 7000 is intended to establish a supply chain information model that is of relevance to entities of all sizes everywhere in the world, set out and structured in a manner that is equally applicable to suppliers and buyers.

This presents a particular need to provide for claims of compliance with the PAS by two distinct user groups (suppliers and buyers). This has been addressed by the provision of two forms of explicit declaration (see Clause 7).

This new approach involves a concept shift, away from that of 'providing questions that are to be asked by buyers in order to solicit answers from suppliers' to one where there is 'a generally accepted information model that is provided by suppliers and that is acquired and used by buyers, as required'.

Inevitably with such a wide range of potentially relevant topic modules, whilst there are many for which it is possible to identify information items that it is reasonable to expect in every prequalification situation, there are some that although wholly valid in some situations, will not always be applicable.

Figure 1 – Overview of the PAS 7000 segmented matrix approach to prequalification information.

Range of Topic Modules														
C1	C2	C3	C4	C5	C6	C7	C8	C9	A1	A2	A3	A4	A5	A6
		Core topic modules – Essential information items always to be requested and supplier responses always required							Additional topic modules – Essential information items always to be requested if topic module migrated to core by buyer and supplier responses then always required					
		Core topic modules – Discretionary information items requested by buyers if required. Can be responded to by suppliers on voluntary basis.							Additional topic modules – Discretionary information items requested by buyers if required and topic module migrated to core by buyer. Can be responded to by suppliers on a voluntary basis					

To accommodate this, PAS 7000 adopts a modular approach to the information required, building them into a matrix supported by a set of application principles or rules that provide a degree of flexibility while retaining a robust, repeatable approach (see Figure 1).

Understanding the matrix

Horizontally, the items of required information are each allocated to one of a range of topic modules with that range being split into two categories:

- **core** – topic modules that are always to be included in a prequalification process claimed to be in compliance with PAS 7000 and
- **additional** – topic modules on which the buyer has discretion as to whether to include them or not.

Buyers or assessment providers can require the information identified in selected additional topic modules (i.e. move additional to core) where the nature of their procurement makes this necessary.

Vertically, within each topic module there is a list of information items that are themselves divided into two categories:

- **essential** – information items that are always required within a particular topic module in every situation.
- **discretionary** – information items that are sometimes applicable within a particular topic module and that, at the discretion of buyers, are sometimes expected.

Specific inclusion of discretionary information items in the topic modules by the buyer or assessment provider, changes its status from discretionary to essential.

As a means of encouraging a policy of openness on the part of suppliers, PAS 7000 encourages suppliers to prepare information not specifically required for a particular supply or prequalification situation on a voluntary basis as available resources permit. There are two reasons for this:

- such information might be required for other prequalification processes undertaken at a future time;
- it could be taken into account by buyers or assessment providers even if not actually required.

0.4 Is the PAS 7000 approach suitable for my business?

This segmented matrix approach provides a prequalification framework that includes all topic modules potentially required by buyers or assessment providers. It permits the core information for any particular prequalification process to be tailored to the specific requirements of the buyer or assessment provider within a structure of rules and principles that maintains the robustness and repeatability required and delivers the cost savings and efficiencies necessary to encourage wide adoption of the PAS 7000 approach.

In this way, PAS 7000 enables prequalification on the basis of the minimum requirements necessary for acceptance as a future supplier (helpful to new applicants and smaller organizations), facilitates a more comprehensive enquiry in situations where supplier conformance to a wider range of criteria is critical to the buyer and encourages progressive enhancement/improvement of supplier responses to the range of topic modules and information items, over time.

***NOTE** Attention is drawn to the current focus on encouraging SME participation, in EU and member states.*

Requirement for the process of validation of supplier provided information does not fall within the remit of this PAS. Each topic module makes recommendations as to how particular information items are best provided but it is for buyers (or their assessment service providers) to determine how that information is assessed and validated. The PAS does however set out requirements to buyers with regard to the extent of the evidence required to support suppliers' responses (see 6.2f) and making information about the validation process to be applied, publicly available.

In the interest of harmonizing the application of PAS 7000 with that of other internationally applicable specifications and schemes (e.g. ISO 9000 series for Quality Management; ISO 28000 series for supply chain security) and reducing duplication of effort to the maximum extent possible, buyers are advised to recognize equivalence and provide for exemptions, where their business needs are unlikely to be compromised. Buyers are advised to recognize existing national standards or schemes in particular supply situations where these might be relevant to supply chains that cross national borders. The PAS recognizes however that it is for buyers to decide whether or not to adopt such practice in accordance with their particular business policies and supply chain needs. It does not therefore make such adoption a matter of requirement.

Because of the range of topic modules included in the PAS 7000 information model, there is unlikely to be any possibility for complete exemption but exemption is likely to be possible on a module by module basis. Buyers are therefore advised to look to the provision of exemptions wherever practicable.

The consistent use of a set of commonly required information in all prequalification activity, including the recognition of compliance with other existing specifications and schemes where appropriate and practicable, not only significantly reduces the resources invested by suppliers in the provision of the necessary information but also enables buying organizations, procurement personnel and assessment providers to more reliably source suppliers on the basis of the assurance and compliance levels they provided.

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1 Scope

This PAS sets out requirements for establishing the governance, risk and compliance (GRC) status of supply chain relationships and in doing so, it:

- establishes the content and extent of supply chain relationship information the sharing of which is fundamental to the establishment of supply chain partnerships;
- sets out rules for the provision and acquisition of this information by supplier and procurer parties respectively, that will enable both to cooperate in the establishment of a supply chain relationship, in a coordinated manner.

The PAS presents the specified information in fifteen topic modules, nine of which are designated '**Core**' topic modules and six are designated '**Additional**' topic modules as follows:

'Core' topic modules

- Organizational Profile (Module C1).
- Supplier Capabilities and Capacities (Module C2).
- Financial Information and Insurance (Module C3).
- Business Governance (Module C4).
- Employment policies (Module C5).
- Health and Safety (Module C6).
- Data protection (Module C7).
- Environmental Management (Module C8).
- Quality Management (Module C9).

'Additional' topic modules

- Business Ethics (Module A1).
- Supply Chain Traceability (Module A2).
- Supply Chain Security Management (Module A3).
- Equal Opportunity and Freedom of Association (Module A4).
- Disciplinary Practice and Abuse (Module A5).
- Business Continuity Management (Module A6).

Within each topic module, the information items identified are divided into '**essential**' and '**discretionary**' categories (see Clause 5 and Clause 6 respectively.)

PAS 7000 is generic in nature and is intended for use by all organizations, regardless of size or complexity, to support the development of supply chain relationships in accordance with established GRC principles. The information identified in the topic modules is already widely used by a broad range of organizations in establishing supply chain relationships. However, the procedures used to gather that information often vary considerably and can result in significant duplication of effort in both the provision and use of the information and can also cause confusion and misunderstanding between potential supply chain partners.

PAS 7000 identifies the information items to be provided with description of how it is to be made available and the evidence required to support it.

PAS 7000 does not:

- specify the accuracy and/ or transparency of the information and supporting documents provided by suppliers; or
- include requirements as to how the validity of that information is to be assessed by procurers;
- both of these are matters for determination by the procuring party in establishing each particular relationship.

PAS 7000 also includes requirement for the use of explicit declarations when claims in respect of the provision and use of supply chain relationship information are made.

2 Terms and definitions

2.1 assessment provider

entity undertaking prequalification of suppliers as a service to buyers or suppliers.

[PAS 91:2013 Construction prequalification questionnaires]

2.2 business associate

any party with whom the organization contracts, including but not limited to clients, customers, joint venture partners, consortium partners, contractors, consultants, sub-contractors, suppliers, vendors, advisors, agents, distributors, representatives and intermediaries (but excluding personnel).

[BS 10500:2011 Specification for an anti-bribery management system (ABMS)]

2.3 business continuity management

holistic management process that identifies potential threats to an organization and the impacts to business operations that those threats might cause which provides a framework for building organizational resilience with the capability for an effective response that safeguards the interests of its key stakeholders, reputation, brand and value-creating activities

[BS ISO 22301:2012 Societal security – Business continuity management systems – Requirements]

2.4 buyer

entity implementing the acquisition of products, works or services with or without payment

NOTE *Decision to work to PAS 7000 as part of a procurement process is usually taken at corporate or owner level but the actual implementation of it could be undertaken by any of a range of roles e.g. supplier selection; supplier assessment/ vetting agent; procurement professional*

2.5 confidentiality

property that information is not made available or disclosed to unauthorized individuals, entities, or processes

[BS ISO/IEC 27000:2012 Information technology – Security techniques – Information security management systems – Overview and vocabulary]

2.6 critical activities

activities which have to be performed in order to deliver the key products and services which enable an organization to meet its most important and time-sensitive objectives

[Quoted from PD 25222:2011 Business continuity management – Guidance on supply chain continuity]

2.7 critical supplier

provider of products/services whose loss would quickly disrupt the organization's critical activities

[Quoted from PD 25222:2011 Business continuity management – Guidance on supply chain continuity]

2.8 disruptive incident

situation that leads to a disruption

[BS ISO 22301:2012 Societal security – Business continuity management systems – Requirements]

2.9 due diligence

investigation or audit of a potential investment to confirm all material acts in regards to a sale

2.10 entity

person, department, team, corporation, cooperative, partnership, organization, or business, that has a legal and uniquely identifiable existence

2.11 information security

preservation of confidentiality, integrity and availability of information

[BS ISO/IEC 27000:2012 Information technology – Security techniques – Information security management systems – Overview and vocabulary]

2.12 integrity

property of protecting the accuracy and completeness of assets

[BS ISO/IEC 27000:2012 Information technology – Security techniques – Information security management systems – Overview and vocabulary]

2.13 intellectual property rights (IPR)

legally enforceable rights, generally conferred by statute, that give their owner exclusive control over the IP, including the use and production of the protected work and the right to authorize or prohibit certain other activities relating to the work

NOTE *The IPR can include patents, utility models, registered designs, registered trade marks, applications for and the right to apply for any of the foregoing IP, unregistered design rights, copyright and similar or analogous rights in any part of the world.*

[BS 8538:2011 Specification for the provision of services relating to the commercialization of intellectual property rights]

2.14 manufacturer

entity that makes a product through a process involving raw materials, components or assemblies

NOTE *usually on a large scale with different operations divided among different workers.*

2.15 originator

creator or inventor of an idea or the owner of the rights in any intellectual property associated with the idea

NOTE *“Owner” here includes any assignee or licensee, or legal representative (e.g. executor or executrix).*

[BS 8538:2011 Specification for the provision of services relating to the commercialization of intellectual property rights]

2.16 product and service

combination of tangible and intangible attributes (items, works, functions, features, benefits and uses) that a supplier offers a buyer for purchase

NOTE *A product is usually a tangible and discernible item that an organization produces as a result of process and serves a need or satisfies a want. A service is the production of an intangible benefit, either in its own right or as a significant element of a tangible product, which satisfies an identified need. Sometimes services are difficult to identify because they are closely associated with a good; such as the combination of a diagnosis with the administration of a medicine.*

2.17 stakeholder

person or organisation that can affect, be affected by, or perceive themselves to be affected by a decision or activity

[ISO Guide 73:2009]

2.18 supplier

entity undertaking the provision of products, works or services in return for payment or without charge

2.19 supplementary information

required procurement related information beyond that included in the PAS 7000 information model

2.20 supply chain

network of entities including suppliers, designers, manufacturers, retailers, distributors, transporters, storage facilities providers, that participate in the production, delivery and sale of a product or service or the undertaking of works, to the specification of and on instruction from, a buyer

3 Core prequalification topic modules

3.0 Essential and discretionary information items

3.0.1 The information items identified as 'E' in the status column of Table 1 to Table 9 are 'essential' information items that shall be included as part of every prequalification process (5 and 6.2a), unless provision is made for exclusion in the particular topic module or determined by the organization's procurement policies.

3.0.2 The information items identified as 'D' in the status column of Table 1 to Table 9 are 'discretionary' information items, that shall be included when the circumstances of supply or the nature of the product, service or works likely to be supplied, makes the related information items relevant (5 and 6.2b).

NOTE 1 Discretionary information items not migrated to essential status by the buyer or assessment provider in a particular prequalification process and that are not therefore identified as being required information on that occasion, are likely to be included in other prequalification processes. Suppliers should therefore prepare responses to all the discretionary items, as available resource permits, to facilitate their enhanced provision of information in relation to future prequalification activities

NOTE 2 Where the prequalification process is in respect of services or works that are likely to be provided on buyer owned and/or administered premises, it can be appropriate for the buyer or assessment provider to make all or part of particular topic modules the subject of specific exclusion.

Note to Figure 2 This illustrates the complete range of topic modules included in the PAS 7000 approach to supplier prequalification, also functions as a hyperlinked index from each hexagon in the figure to its respective topic module. For suppliers wanting to review the requirements for information provision or buyers looking to understand the rules for information acquisition, the two red discs at the bottom of the figure are linked directly to the relevant clauses of this PAS.

Figure 2 – Index of topic modules (with hyperlinks)





3.1 Core topic module C1 – Organizational Profile

Table 1 sets out the 'essential' and 'discretionary' information items in respect of organizational profile that shall be provided in accordance with Clause 5 and used in accordance with 6.2a) and 6.2b) respectively, on the basis of the description of expected information provided in relation to each particular information item.

Table 1 – Core topic module C1: Organizational Profile – Supplier identity, key role and contact information

Item Ref.	Info Status	Information item required	Description of expected response, which will form the basis of assessment	Response or reference to where the information can be obtained
C1-01	E	Legal name of organization (in English)	Unique English name of legal entity as per Business License or equivalent official document	
C1-02	D	Legal name of organization (in <u>local language</u>)	Provide this only if the organization name is in local language as per your Business License or equivalent official document	
C1-03	E	Trade name (doing business as)		
C1-04	E	Phone number	country code-area code-telephone number XXX - XXX - XXXXXXXX	
C1-05	D	Fax number	country code-area code-telephone number XXX - XXX - XXXXXXXX	
C1-06	E	Key Contact Details for enquiries	C1-06-1 First or Given Name	
			C1-06-2 Last or Family Name	
			C1-06-3 Mr., Mrs. or Ms.	
			C1-06-4 Job Title	
			C1-06-5 First or Given Name (in local language)	
			C1-06-6 Last or Family Name (in local language)	
			C1-06-7 Job Title (in local language)	
			C1-06-8 Phone number	
			C1-06-9 Email address	

Table 1 – Core topic module C1: Organizational Profile – Supplier identity, key role and contact information (*continued*)

Item Ref.	Info Status	Information item required	Description of expected response, which will form the basis of assessment	Response or reference to where the information can be obtained
C1-07	E	Registered address (in English)	C1-07-1 Address line 1	
			C1-07-2 Address line 2	
			C1-07-3 Address line 3	
			C1-07-4 Town	
			C1-07-5 State / Province	
			C1-07-6 Country	
			C1-07-7 Post / Zip Code	
C1-08	D	Registered address (in <u>local language</u>) (Provide this only if the organization address is in local language as per Business License or equivalent official document)	C1-08-1 Address line 1	
			C1-08-2 Address line 2	
			C1-08-3 Address line 3	
			C1-08-4 Town	
			C1-08-5 State / Province	
			C1-08-6 Country	
			C1-08-7 Post / Zip Code	
C1-09	E	The number of facilities under the same Business License or equivalent official document. (If the organization has multiple facilities under the same Business License or equivalent official document, please list the address of each facility in the supplementary documents.)		
C1-10	E	Business nature and scope of activities e.g., Design and Manufacturing of Consumer Electronics.		

Table 1 – Core topic module C1: Organizational Profile – Supplier identity, key role and contact information (*continued*)

Item Ref.	Info Status	Information item required	Description of expected response, which will form the basis of assessment	Response or reference to where the information can be obtained
C1-11	E	The number of years that organization has been operating in its registered address according to the Business License or equivalent official document. (If the organization has more than one facility location, please state the number of operating years per facility in the supplementary documents)		
C1-12	D	If the organization has its own web-site, the website address.		
C1-13	D	Mother Organization Name (If applicable)		
C1-14	D	If the mother organization has its own web-site, the website address of mother organization.		
C1-15	E	The number of employees that the organization has under the same registration. (If the organization has more than one facility, please list the number of employees per facility in the supplementary documents.)	C1-15-1 Permanent employees	
			C1-15-2 Temporary employees	
			C1-15-3 Part-time employees	
			C1-15-4 Migrant workers (Please specify which countries the migrant workers are from)	
			C1-15-5 Total	
C1-16	E	Organizational chart	Please provide a copy of the organization's organizational chart (PDF or JPG format) and related department/function descriptions, including the details showing the departments/functions or personnel relevant to quality, CSR, health & safety, security, environmental, business continuity management (BCM), anti-bribery and other activities.	



3.2 Core topic module C2 – Supplier capabilities and capacities

Table 2 sets out the 'essential' and 'discretionary' information items in respect of supplier capabilities and capacities to be provided in accordance with Clause 5 and used in accordance with 6.2a) and 6.2b) respectively, on the basis of the description of expected information provided in relation to each particular information item.

Table 2 – Core topic module C2: Supplier capabilities and capacities

Item Ref.	Info Status	Information item required	Description of expected response, documentation or other evidence, which will form the basis of assessment	Response or reference to where the information can be obtained
C2-01	E	Product, services or works types/classifications	C2-01-1 Detail product or service type/description (e.g., consumer electronics, electrical system installation) C2-01-2 International product and services codes, e.g., UNSPSC, CPV	
C2-02	E	Organization output capacity per month (e.g., piece quantity, service man-days, number of jobs)	Please provide monthly output reports / statistics for last 12 months	
C2-03	E	Facility area (in square meters) under the same registration (If the organization has more than one facility, please list the area per facility in the supplementary documents.)	C2-03-1 Office Area C2-03-2 Production Area C2-03-3 Warehouse C2-03-4 Others	
C2-04	E	Number of designated staff under the same registration (If the organization has more than one facility, please list the number of designated staff per facility in the supplementary documents.)	C2-04-1 QA/QC staff C2-04-2 Production staff C2-04-3 Servicing staff including maintenance staff	
C2-05	D	As per last fiscal year, the percentage of purchase breakdown of the organization's Top 7 sourcing countries.	Please provide the purchase breakdown (percentage % by monetary value) of Top 7 sourcing countries.	

Table 2 – Core topic module C2: Supplier capabilities and capacities (*continued*)

Item Ref.	Info Status	Information item required	Description of expected response, documentation or other evidence, which will form the basis of assessment	Response or reference to where the information can be obtained
C2-06	D	As per last fiscal year, the percentage of sales breakdown of the organization's <u>Top 7 export</u> countries of intended sale.	Please provide the sales breakdown (percentage % by monetary value) of <u>Top 7 export</u> countries of intended sale.	
C2-07	E	Approximate Annual Turnover of organization (US\$, Euros or £)	Please provide sales statistics or shipment records (e.g., bill of lading, packing list, cargo receipt, letter of credit) for last 12 months	
C2-08	D	Photographs of the organization's key areas as identified in C2-08-1 to 7 where these are applicable to your organization or otherwise of comparable areas.	C2-08-1 Facility's main gate/entrance	
			C2-08-2 Overview of the main building	
			C2-08-3 Production buildings	
			C2-08-4 Overview of the work floor	
			C2-08-5 Overview of the packing area	
			C2-08-6 Overview of the finished product warehouse	
			C2-08-7 Overview of shipping and receiving docks	

3.3 Core topic module C3 – Financial Information & Insurance

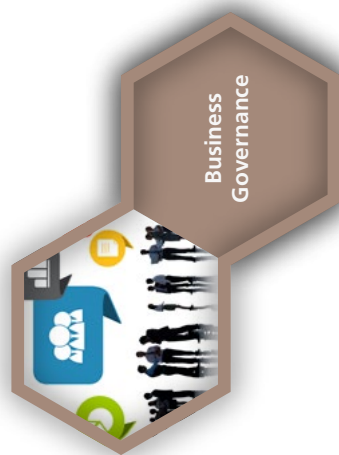
Table 3 sets out the 'essential' and 'discretionary' information items in respect of financial information and insurance to be provided in accordance with Clause 5 and used in accordance with 6.2a) and 6.2b) respectively on the basis of the description of expected information provided in relation to each particular information item.

Table 3 – Core topic module C3: Financial Information and Insurance

Item Ref.	Info Status	Information item required	Description of expected response, documentation or other evidence, which will form the basis of assessment	Response or reference to where the information can be obtained
C3-01	E	Organization annual report or accounts that contain the most recent three-year turnover, profit (or loss) before tax, or if the organization has been operating for less than three years, the period that is available.	Copy of organization annual report or financial accounts that contain turnover, profit (or loss) before tax, and balance sheet (if available).	
C3-02	D	If the information provided in C3-01 does not show the organization's principle owners, please provide the names of top 3 major shareholders.		
C3-03	D	Applicable insurance statements and details for C3-03-1, 2, 3 and 4.	C3-03-1 Employers Liability Insurance	C3-03-1-1 Policy No.
				C3-03-1-2 Limit of Indemnity
				C3-03-1-3 Excess
				C3-03-1-4 Limit for a single event
				C3-03-1-5 Expiry date
			C3-03-2 Public Liability Insurance	C3-03-2-1 Policy No.
				C3-03-2-2 Limit of Indemnity
				C3-03-2-3 Excess

Table 3 – Core topic module C3: Financial Information and Insurance (*continued*)

Item Ref.	Info Status	Information item required	Description of expected response, documentation or other evidence, which will form the basis of assessment	Response or reference to where the information can be obtained
			C3-03-2-4 Limit for a single event	
			C3-03-2-5 Expiry date	
			C3-03-3-1 Policy No.	
			C3-03-3-2 Limit of Indemnity	
			C3-03-3-3 Excess	
			C3-03-3-4 Limit for a single event	
			C3-03-3-5 Expiry date	
			C3-03-4-1 Policy No.	
			C3-03-4-2 Limit of Indemnity	
			C3-03-4-3 Excess	
			C3-03-4-4 Limit for a single event	
			C3-03-4-5 Expiry date	



3.4 Core topic module C4 – Business Governance

Table 4 sets out the 'essential' and 'discretionary' information items in respect of business governance to be provided in accordance with Clause 5 and used in accordance with 6.2a) and 6.2b) respectively on the basis of the description of expected information provided in relation to each particular information item.

Table 4 – Core topic module C4: Business governance

Item Ref.	Info Status	Information item required	Description of expected response, documentation or other evidence in support of response, which will form the basis of assessment	Information Provided / Partially Provided / Not Provided / NA	Response or reference to where the information can be obtained
C4-01	E	Valid business license or equivalent official document which accurately describes the current business scope of the organization.	Business License / Business Permit / Company Registration Certificate or other equivalent official document		
C4-02	E	Valid tax registration or equivalent official document.	Tax registration documents (with the stamp of Local Taxation Bureau)		
C4-03	D	If the organization has valid import and/or export license, a copy of the license.	- Import and/or export license - Registration form for foreign trade business enterprise - Custom declaration registration certificate for exporting goods - Evidence which can prove the organization has registered in the relevant government authority and obtained the export license.		
C4-04	D	If the organization has a valid credit report, the detail report and reference number.	- Please provide credit reports, e.g., Dun & Bradstreet (D&B), Experian Business Information Report. - Reference number assigned by the credit report provider. - Website listing, if applicable.		
C4-05	E	Type of ownership	Private, Government Own, Joint Venture, etc.		

Table 4 – Core topic module C4: Business governance (continued)

Item Ref.	Info Status	Information item required	Description of expected response, documentation or other evidence in support of response, which will form the basis of assessment	Information Provided / Partially Provided / Not Provided / NA	Response or reference to where the information can be obtained
C4-06	E	The names and citizenship of all chief officers identified in C4-06-1 to 3 or equivalent (Note: Where jurisdictions allow, the same person may have more than one responsibility).	C4-06-1 Name and Citizenship of Chief Executive Officer or equivalent		
			C4-06-2 Name and Citizenship of Chief Financial Officer / Treasurer or equivalent		
			C4-06-3 Name and Citizenship of Chief Operating Officer or equivalent		
C4-07	D	At least 2 Business References (the name and contact details of the organizations whom you have business relationships in last two years).	C4-07-1 Organization Name (1)		
			C4-07-2 Contact Person and Contact Details (1)		
			C4-07-3 Organization Name (2)		
C4-08	E	Copy of a documented anti-bribery policy or commitment statement.	C4-07-4 Contact Person and Contact Details (2)		
			Please provide evidence that the organization has an anti-bribery policy or commitment statement authorized by the top management and regularly reviewed. Evidence of the anti-bribery policy could include the elements of: i. prohibiting bribery; ii. implementing measures to prevent, detect, report and handle the bribery cases.		

Table 4 – Core topic module C4: Business governance (*continued*)

Item Ref.	Info Status	Information item required	Description of expected response, documentation or other evidence in support of response, which will form the basis of assessment	Information Provided / Partially Provided / Not Provided / NA	Response or reference to where the information can be obtained
C4-09	E	Confirmation that the organization has proportionate and reasonable controls implemented, in regards to the nature and extent of any bribery and/or fraud risks which the organization faces.	Please provide evidence of the controls implemented by the organization against the bribery and/or fraud risk. Evidence of controls against bribery and/or fraud could include: i. implementation of anti-bribery management system by the controlled organization and its business associates; ii. declaration procedure/system for the personnel who may have any actual or potential 'conflict of interest' (e.g., employee's immediate family business as a supplier for the organization); iii. gift, hospitality, donation and benefits policy / procedure; iv. anti-bribery contract terms; v. financial controls (e.g., review that the delegations of authority has not been exceeded); vi. procurement, tendering and other commercial controls; vii. raising concerns (whistleblowing) policy; viii. maintenance of detailed records regarding controls and any bribery-related issues; ix. top management review.		
C4-10	E	Copy of the policy/procedures that protect the intellectual property and/or patented items received from the originator (e.g., client).	Please provide policy, procedure or guideline of protecting the confidentiality of the intellectual property and/or patented items.		