

PAS 7000:2014

Supply chain risk management – Supplier prequalification



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Published by BSI Standards Limited 2014.

ISBN 978 0 580 84232 0

ICS 03.100.01

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Publication history

First published October 2014

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Foreword

The development of PAS 7000 was funded by BSI Professional Services Asia Pacific Limited and facilitated by BSI Standards Limited. It was published under licence from The British Standards Institution and came into effect in October 2014.

Acknowledgement is given to the following organizations who were involved in the development of PAS 7000 through nomination of members to the Steering Group:

Achilles Group Limited	UK
Altius Vendor Assessment limited	UK
Astra Zeneca	UK
Brother Industries Ltd	Japan
Builder's Profile (UK) Ltd	UK
Capita plc	UK
Celgene Corporation	USA
The Chartered Institute of Purchasing & Supply (CIPS)	UK
Dainippon Screen MFG. Co. Ltd	Japan
Defence Science and Technology Laboratory (Dstl)	UK
East Riding of Yorkshire Council	UK
Japan Audit and Certification Organization for Environment and Quality	Japan
Japan Quality Assurance Organization	Japan
London Underground Limited	UK
Metcash Limited	Australia
Onward Kashiyama co. Ltd	Japan
Osaka Izumi Co-operative Society	Japan
PICS Auditing	UK
Sanitarium Health & Wellbeing	Australia
Sompo Japan Nipponkoa Risk Management Inc.	Japan
Supply Chain council – Hong Kong	Hong Kong
Toyota Tsusho Corporation	Japan
Vendigital Group	Hong Kong

BSI and the Steering Group greatly appreciate the input from numerous individuals and organizations around the world, participating in the Review Panel during the consultation stage of development of PAS 7000.

Given the strongly international focus of this project, the support provided in the facilitation of meetings and liaison with local experts, by BSI colleagues in Australia, Hong Kong, Japan and USA, is gratefully acknowledged.

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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 and adopted 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	

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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.		



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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.	

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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 <u>Top 7 sourcing</u> countries.	Please provide the purchase breakdown (percentage % by monetary value) of <u>Top 7 sourcing</u> 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	

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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 Product Liability Insurance	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 Professional Indemnity Insurance	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					

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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.	<ul style="list-style-type: none"> Business License / Business Permit / Company Registration Certificate or other equivalent official document 		
C4-02	E	Valid tax registration or equivalent official document.	<ul style="list-style-type: none"> 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.	<ul style="list-style-type: none"> 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.	<ul style="list-style-type: none"> 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)		
			C4-07-4 Contact Person and Contact Details (2)		
C4-08	E	Copy of a documented anti-bribery policy or commitment statement.	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.	<p>Please provide evidence of the controls implemented by the organization against the bribery and/or fraud risk.</p> <p>Evidence of controls against bribery and/or fraud could include:</p> <ol style="list-style-type: none"> 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.		



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3.5 Core topic module C5 – Employment Policies

Table 5 sets out the ‘essential’ and ‘discretionary’ information items in respect of the supplier’s employment policies 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 5 – Core topic module C5: Employment Policies



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
CSR Certifications					
C5-01	E	If the organization has 3rd party Social Accountability / CSR System certifications specific to its facility location(s), copy of currently valid certificates.	Please provide valid 3rd party Social Accountability / CSR system certificates specific to its facility location(s), for example <ul style="list-style-type: none"> i. Social Accountability International Standard (SA8000); ii. International Council of Toy Industries (ICTI); iii. Worldwide Responsible Accredited Production (WRAP); iv. Other relevant industry standard. 	<i>NOTE If valid ‘SA8000, WRAP or ICTI certificate’ is provided, then procurement organization may determine to exempt the relevant questions at its discretion</i>	
C5-02	D	In addition to the system certifications specified above, any other Social Compliance program achievements from buyers, specific to the organization’s facility.	Please provide other Social Accountability / CSR / Workplace Conditions program achievements, letter or confirmation from buyers		

Table 5 – Core topic module C5: Employment Policies (*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
C5-03	E	If the organization has 3rd party audits conducted for any Industry Association programs, copy of most recent audit reports.	Please provide the audit report of relevant Industry Association programs, for example i. BSCI; ii. SEDEX; iii. EICC; iv. FLA; v. Other relevant industry association program.		
C5-04	E	The number of independent audits conducted by external parties including the certification, buyers' and/or industry association programs on the facility against Social Accountability / CSR standards in last 12 months.	Please indicate the number of audits conducted and provide the relevant audit report / record for Social Accountability / CSR / Workplace Conditions System audit conducted in last 12 months.		
Child Labor and Forced Labor					
C5-05	E	The minimum age of employment defined by local law for the country where the organization's facility is located.	Please provide the information of local minimum age and/or its source.		
C5-06	E	Copy of the policy/procedures that prohibit the organization from employing workers below the legal minimum working age or other buyers' specific requirements, in which case the higher age limit shall apply.	<ul style="list-style-type: none"> • Employment policy / procedure authorized by the organization management stating employment of workers under legal minimum age / buyer's requirement is not allowed. 		
C5-07	E	Confirmation that the organization has a mechanism to review, verify and keeps copies of the official proof of age documentation used in the hiring of all employees.	<ul style="list-style-type: none"> • Recruiting procedure • *Samples / templates of staff employment records and contract • Verification method / records for the age documentation 		



Table 5 – Core topic module C5: Employment Policies (*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
C5-08	E	Copy of the policy/procedures that prohibit the organization from employing individuals who are imprisoned, trafficked, bonded, forcibly retained or indentured either by the organization itself, or an employment agent/broker.	<ul style="list-style-type: none"> • Employment policy / procedure authorized by the organization management stating employment is on freely-chosen basis and any kind of force labors, e.g., imprisoned, trafficked, bonded, forcibly retained or indentured are not allowed. 		
C5-09	D	If the organization uses employment agent(s) for batch employment of individuals, the name of the employment agent(s) and the terms of their contract with the organization.	<ul style="list-style-type: none"> • Please specify the name of the employment agent(s). • Contract template with employment agent or the terms of their contract including any requirement to provide relevant information in accordance with PAS 7000. 		
C5-10	E	Confirmation that the organization does not retain the employee's <u>original</u> identification cards, passports, work permits, or other personal documents issued by government as a condition of employment, except where required by local regulation.	<ul style="list-style-type: none"> • Employment policy / procedure authorized by the organization management stating employee's identification cards, passports, work permits, or other personal documents issued by government are not retained as a condition of employment. • *Sample/template of staff employment contract 		
C5-11	E	Confirmation that the organization does not collect monetary deposits as a condition of employment (except those reasonable amounts for employee badge, uniform, tool deposits where allowed by local regulation).	<ul style="list-style-type: none"> • Employment policy / procedure authorized by the organization management stating monetary deposits (except those reasonable amount for employee badge, uniform, tool deposits where allowed by local regulation) are not collected as a condition of employment. • *Sample/template of staff employment contract 		



Table 5 – Core topic module C5: Employment Policies (*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
C5-12	E	Confirmation that all employees are free to leave the facility or workplace/work station after their normal working hours.	<ul style="list-style-type: none"> • Employment policy / procedure authorized by the organization management stating all employees are free to leave the facility or workplace/work station after their normal working hours. 		
C5-13	E	Confirmation that all employees are able to voluntarily terminate their employment in accordance with the agreed terms in the employment contract or applicable local law.	<ul style="list-style-type: none"> • Employment policy / procedure authorized by the organization management stating all employees are able to voluntarily terminate their employment in accordance with the agreed terms in the employment contract or applicable local law and without unreasonable restrictions or penalty. • Please specify the length of notice period and financial penalties for termination. • *Sample/template of staff employment contract 		

Table 5 – Core topic module C5: Employment Policies (*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
Wage, Remuneration					
C5-14	E	The currently applicable minimum wage and overtime pay rates where these are specified in local law/ regulation.	Please provide the information of latest minimum wage and overtime pay rate and/ or its source.		
C5-15	E	Copy of the policy/procedure that ensures employees are paid in compliance with applicable wage laws, including minimum wages, overtime hours and mandated benefits including paid leave.	<ul style="list-style-type: none"> • Employment policy / procedure authorized by the organization management stating that employees' pay rate and benefits including paid leave are in compliance with applicable wage laws. • *Sample/template of staff employment contract 		
C5-16	E	Details of employee payment methods.	Percentage of employees are paid: <ul style="list-style-type: none"> • hourly; • daily; • weekly; • monthly; • by piece-rate. 		
C5-17	E	Confirmation that the organization sets up a correct wage calculation method for the regular and overtime wages where applicable premium rate is legally required.	<ul style="list-style-type: none"> • Wage calculation formula and/or trial run data to verify the regular and overtime wage calculation. 		
C5-18	E	Copy of policy/procedure that requires the organization to keep or provide complete payroll records/pay stubs of the employees.	<ul style="list-style-type: none"> • Policy/procedure for keeping or providing payroll records. 		

Table 5 – Core topic module C5: Employment Policies (*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
Working Hours					
C5-19	E	Copy of policy/procedure that ensures employee's normal working hours are below the allowable limits as per the applicable laws or agreements.	<ul style="list-style-type: none"> • Employment policy / procedure authorized by the organization management stating that normal working hours are below the allowable limits as per the applicable laws or agreements • *Sample/template of staff employment contract 		
C5-20	E	Confirmation that the organization keeps or provides complete records of employees' normal working hours and overtime hours.	<ul style="list-style-type: none"> • *Sample/template of employees' time records which can show the normal and overtime hours. 		
C5-21	E	Confirmation that employees are allowed to have at least one day off per week. (Exceptions will be taken into consideration for the jobs with time limitation, e.g., seasonal works for the agricultural harvest.)	<ul style="list-style-type: none"> • *Sample of employees' time records which can show at least one day off is given per week • *Sample/template of staff employment contract 		

***NOTE** Applicable data protection regulations may require the deletion or blocking out of personal/client/supplier details, in the samples submitted.



3.6 Core topic module C6 – Health and safety

Table 6 sets out the ‘essential’ and ‘discretionary’ information items in respect of health and safety 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 6 – Core topic module C6: Health and safety

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
Health & Safety					
C6-01	E	If the organization has 3rd party Occupational Health and Safety Management System certifications or registered membership of relevant safety scheme specific to its facility location(s), copies of currently valid certificates.	<p>Please provide valid 3rd party Occupational Health and Safety Management system certificates or registered membership of relevant safety scheme specific to organization’s facility location(s), for example</p> <ol style="list-style-type: none"> Occupational health and safety management system (BS OHSAS 18001) Certification *Other relevant industry standard or registered membership of an accepted Safety Scheme in Procurement. 	<i>NOTE If valid Occupational Health and Safety Management system certificate or registered membership is provided*, then procurement organization may exempt C6-03 to C6-14 at its discretion (see note to this table)</i>	
C6-02	E	Building structural safety inspections / reviews reports regarding the organization’s buildings and facilities conducted by relevant bureau or independent qualified agency.	<ul style="list-style-type: none"> Building structural safety inspections certificate or reports 		
C6-03	E	Fire safety inspections / reviews reports regarding the fire safety equipment and precautions conducted by relevant bureau, independent qualified agency or competent person.	<ul style="list-style-type: none"> Fire safety inspections certificate or reports conducted by relevant bureau, independent qualified agency or competent person. 		

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Table 6 – Core topic module C6: Health and safety (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
C6-04	D	If the organization has any special equipment or controlled operations on-site (e.g., cargo lift, forklift, boiler, work at height, electrician, hot work, welding, confined space work, energy isolation, line opening etc.), copies of the applicable licenses or permits of the authorized operators.	<ul style="list-style-type: none"> **Samples / copies of permits or license for operating the special equipment or controlled operations. 		
C6-05	E	Copies of assessment records or program documents for identifying, evaluating and controlling employee exposure to safety hazards (e.g. hazardous materials, vehicles, machinery, electrical shock, noise, extremes of temperature).	<ul style="list-style-type: none"> Risk assessment record or evidence regarding the exposure scenario to the safety hazards in the workplaces. 		
C6-06	D	If the organization provides personal protective equipment (PPE), such as, masks, gloves, goggles, earplug, safety shoes and helmets to its employees, evidence of its issue, appropriateness and use by affected employees.	<ul style="list-style-type: none"> List of appropriate PPE provided to the employees as per job functions, e.g., no cotton masks in paint-spraying section. Issuance record of PPE 		
C6-07	E	Copy of the organization's incident management procedure(s) and records of related occupational health and safety issues.	<ul style="list-style-type: none"> Incident management procedure and records of occupational health and safety issues. 		



Table 6 – Core topic module C6: Health and safety (*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
C6-08	E	Confirmation that the organization has free access control or exerts adequate control to ensure unhindered passage for its employees over areas of shared use, in the event of fire or other emergency.	<ul style="list-style-type: none"> • Terms in building premises / property agreement or rental contract. • Special agreement with the building owners or other tenants. • Copies of procedures for periodic checking of emergency exits including the passage of shared used and evidence of corrective action taken. 		
C6-09	E	Confirmation that fire fighting equipment within the organization's facilities comply with the relevant local regulations in terms of quantity and correct type of fire fighting equipment.	<ul style="list-style-type: none"> • Applicable local fire safety regulations regarding the type and quantity of fire equipment. • Floor plans which can show the area of the work floors within the facilities (e.g., production floors, warehouses, offices and dormitory) and the indications of fire fighting equipment in terms of location, quantity and type. 		
C6-10	E	Confirmation that the number of emergency evacuation exits at the organization's facilities (e.g., warehouses, production floors, offices and dormitory) comply with the local regulations.	<ul style="list-style-type: none"> • Applicable local regulations regarding emergency exits. • Floor plans which can show the area of the work floors within the facilities and the indications of emergency exits. 		
C6-11	E	Confirmation that emergency evacuation exits are unblocked and unlocked during business hours.	<ul style="list-style-type: none"> • Procedures and records for periodic checking the access to and operation of, emergency evacuation exits and specify the checking frequency. 		
C6-12	E	Evidence of emergency light testing including back-up power and indicate the frequency.	<ul style="list-style-type: none"> • Emergency light testing records and the frequency. 		



Table 6 – Core topic module C6: Health and safety (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
C6-13	E	Confirmation that the organization's evacuation plans are posted in the organization's facilities, e.g., warehouses, production floors, offices, and other accommodations.	<ul style="list-style-type: none"> • Evacuation plans • Evidence / photos of posting accurate evacuation plan in the organization's facilities. 		
C6-14	E	Evidence of undertaking emergency evacuation drills and indicate the frequency (at least annually or as per legal requirements if applicable).	<ul style="list-style-type: none"> • Emergency evacuation drill records, reports or photos and the frequency. 		

***NOTE 1** For construction related procurement, buyers may take into account the equivalence provided by PAS 91 (a construction related prequalification standard that was a precursor to PAS 7000). The prequalification information required by PAS 91, particularly with regard to health and safety, is tailored to construction contractors who typically do not manufacture a product in a fixed location factory, rather they deliver services to a temporary construction site. Some of the key emphases in PAS 91 i.e., on training and qualification, management arrangements, worker involvement, co-operation and co-ordination, are particularly pertinent in construction related prequalification activity.

****NOTE 2** Applicable data protection regulations may require the deletion or blocking out of personal/client/supplier details, in the samples submitted.



3.7 Core topic module C7 – Data protection

Table 7 sets out the 'essential' and 'discretionary' information items in respect of data protection and information security management 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 7 – Core topic module C7: Data protection

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
C7-01	E	Copies of policies and procedures that govern the collection, processing and storage of data about clients, employees or suppliers and ensure that such action is justified.	<ul style="list-style-type: none"> Data protection policy / procedure authorized by the organization management stating that collection, processing and storage of data about clients, employees or suppliers is justified. 		
C7-02	E	Confirmation that the organization informs the subject of collected and stored data about the purposes for obtaining that data.	<ul style="list-style-type: none"> Privacy notice or notification given to the subject of data regarding the purpose for collecting and storing the data. 		
C7-03	E	Copies of policies and procedures that ensure only the relevant and right amount of data is collected and stored and that it is not excessive in relation to the specified purpose.	<ul style="list-style-type: none"> Data protection policy / procedure authorized by the organization management stating that only the relevant and right amount of data is collected and stored and is not excessive in relation to the specified purpose. 		
C7-04	E	The process and frequency for updating stored data.	<ul style="list-style-type: none"> Data updating frequency and practice 		
C7-05	E	Copies of policies and procedures that determine the maximum retention periods of stored data (which is not longer than the necessary period for the specified purpose).	<ul style="list-style-type: none"> Policies/procedures/ guidelines that determine the maximum retention periods of stored data Lists/tables of data with the corresponding retention period 		

Table 7 – Core topic module C7: Data protection (*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
C7-06	E	Copies of the policies and procedures that ensure the subject of data collected and stored have the right to access to their own data and can require the removal of any data items likely to cause damage or distress.	<ul style="list-style-type: none"> Data protection policy / procedure authorized by the organization management setting out the terms for the subject of retained data to access their own data and to request its removal. 		
C7-07	E	Copies of the policies and procedures that ensure the data collected, including both electronic and paper based data, is kept in a secure manner.	<ul style="list-style-type: none"> Policy/procedures that ensure the data collected is kept in a secure manner. Responsibilities of people who are authorized to maintain, access, alter, disclose or destroy data. 		
C7-08	E	If the organization has 3rd party information security management system certifications, copies of currently valid certificates.	<p>Please provide valid 3rd party information security management system certificate, for example,</p> <ol style="list-style-type: none"> ISO/IEC 27001; CSA STAR (for Cloud service providers); PAS 555 (Cyber Security Risk); Other relevant industry standard. 	<i>NOTE If valid information security management system certificate is provided, then procurement organization may exempt C7-09 to C7-15 at its discretion</i>	
C7-09	D	Copies of the policies and procedures for authorizing the access rights provisions to newly-employed or change roles staff, based on the 'need-to-know' principle.	<ul style="list-style-type: none"> Policy, procedure or guideline for approving employees' access right. Guideline on how to define the employees' access right or list of employees' access. 		
C7-10	D	Copies of policies and procedures that ensure unique user IDs are assigned and issued to all users.	Policy, procedure or guideline for assigning unique user ID.		

Table 7 – Core topic module C7: Data protection (*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
C7-11	D	Confirmation that the organization has and implement a system (e.g., event logging) to monitor and identify any abuse, improper access, tampering or altering of business data, log information and confidential information.	Please provide the evidence of event log and review records.		
C7-12	D	Copies of policies and procedures for protecting unattended computers or mobile devices from unauthorized use.	Please provide the policy, procedure, guideline on how to protect unattended computers or mobile devices from unauthorized use, e.g., by a key lock or password protected screen saver.		
C7-13	D	If removable media (e.g., thumb drive, CD-ROM) are used, copies of the policies and procedures for their management in order to protect data confidentiality and/ or integrity.	Please provide the procedure for managing the removable media could include: <ul style="list-style-type: none"> i. register all removable media ii. all media should be stored in a safe and secure environment iii. cryptographic techniques should be used to protect data on removable media iv. if no longer required, the contents of any removable media should be made unrecoverable 		
C7-14	D	Confirmation that effective firewalls and anti-virus software are installed and implemented on computers, lap tops and tablets with internet access, to ensure data security.	Please provide evidences of firewall and the subscription and installation of anti-virus software.		



Table 7 – Core topic module C7: Data protection (*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
C7-15	D	Copies of policies / procedures for ensuring that essential electronic data and software can be recovered following a disaster or media failure.	<p>Please provide the policy, procedure and/ or backup plan of the IT system, data and software.</p> <p>The backup plan could include:</p> <ul style="list-style-type: none"> i. backup media and number of the backup copies; ii. the extent (e.g. full or differential backup) and frequency of backups reflect the organization's business requirements; iii. the backups are stored in a remote location, at a sufficient distance to escape any damage from a disaster at the main site; iv. back up information is provided demonstrating an appropriate level of protection against physical damage and environmental threat; v. backup media are regularly tested to ensure that the back-up data can be restored; vi. where confidentiality is of importance, backups are protected by means of encryption. 		



3.8 Core topic module C8 – Environmental management

Table 8 sets out the ‘essential’ and ‘discretionary’ information items in respect of environmental management system 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 8 – Core topic module C8: Environmental management

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
Environmental certifications					
C8-01	E	If the organization has 3rd party environmental management system certifications specific to its facility location(s), copies of currently valid certificates.	Please provide valid 3rd party environmental management system certificates, for example <ul style="list-style-type: none"> • ISO 14001; • Eco Management and Audit Schemes (EMAS); • Other relevant industry standards. 	<i>NOTE If valid environmental management system certificates is provided, then procurement organization may exempt C8-04 to C8-17 at its discretion</i>	
C8-02	D	The number of independent audits conducted by external parties including the certification and/or buyers’ programs against environmental management system standards (e.g., ISO 14001 or 2nd party audits) in last 12 months.	Please indicate the number of audits conducted and provide the relevant environmental audit reports conducted in last 12 months conducted last year.		
C8-03	E	If the organization has valid 3rd party environmental product certifications / eco-product certificate or label, copies of currently valid certificates or labels.	Please provide valid 3rd party environmental / eco-product certificate or label		

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Table 8 – Core topic module C8: Environmental management (*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
Environmental management system					
C8-04	E	Copy of the environmental policy or commitment statement declaring organizational commitment to comply with environmental laws and regulations and continuous improvement in environmental performance.	<ul style="list-style-type: none"> Environmental policy authorized by the organization management declaring its commitment to comply with environmental laws and regulations and continuous improvement in environmental performance. 		
C8-05	E	Copies of applicable environmental permits or licenses compliant with legal requirements.	<p>Please provide the applicable environmental permit/license, e.g.,</p> <ul style="list-style-type: none"> Land use/construction permit issued by local government; Wastewater discharge permit/license; Air emission discharge permit/license; Noise emission permit / license. 		
C8-06	D	Currently valid Environmental Impact Assessment report or documentation which covers all activities including manufacturing processes, constructions, renovations within its business scope, compliant with legal requirements.	<ul style="list-style-type: none"> Environmental Impact Assessment or Evaluation Report include all the projects and activities might influence the environment (including facility new construction, manufacturing process changes, facility expansion) 		
C8-07	E	Confirmation that the organization implements appropriate measures including the introduction of new technologies where practicable to conserve, reduce or recycle raw materials, energy, water and other consumptions.	<ul style="list-style-type: none"> Evidence of purchase or use of recycle plastics / metal / paper / packaging Evidence of recycle wastewater, energy and other consumptions. 		
Waste water					
C8-08	D	The list of major pollutants identified in the discharged wastewater and their legal limit(s)/concentration(s).	<ul style="list-style-type: none"> List of major pollutants in the discharged wastewater and their legal limit(s) / concentration(s). 		



Table 8 – Core topic module C8: Environmental management (*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
C8-09	D	Confirmation that the organization has control equipment/facility to manage or reduce the pollutant concentration of the wastewater to ensure it complies with applicable governing agency requirements before discharging into ecosystem (e.g., river, sea).	<ul style="list-style-type: none"> The pollution discharge control procedure and record Control equipment operation record used to deal with waste water Monitoring records or laboratory analysis report (where necessary) of the main waste water discharged 		
Air emission					
C8-10	D	Confirmation that the organization has control equipment/facility to manage or reduce air emission to ensure it complies with applicable governing agency requirements and other standard set by voluntary group/organization.	<ul style="list-style-type: none"> The pollution discharge control procedure and record The equipment operation record used to deal with air emission Monitoring records or laboratory analysis report (where necessary) of the main air emission 		
Noise emission					
C8-11	D	Confirmation that the organization has control equipment/facility to manage or reduce noise emission to ensure it complies with applicable governing agency requirements.	<ul style="list-style-type: none"> The equipment operation record used to deal with noise emission Noise monitoring records 		



Table 8 – Core topic module C8: Environmental management (*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
Hazardous substances					
C8-12	E	Currently valid business permit to engage in purchasing, collection, storage, use and disposal of any hazardous substances, required in undertaking the organizations activities.	<ul style="list-style-type: none"> Business permits to engage in purchasing, collection, storage, use and disposal of hazardous substances. 		
C8-13	E	A list of hazardous chemicals used by the organization, which show that they are registered for their intended use and traceable to a CAS# or equivalent chemical labeling, e.g., EU Classification and Labeling system.	<ul style="list-style-type: none"> Register or list of hazardous chemicals <p>NOTE:</p> <ul style="list-style-type: none"> CAS number – unique numerical identifiers assigned by the 'Chemical Abstracts Service' (CAS) to every chemical described in the open scientific literature (currently including those described from at least 1957 through the present) EU Classification and Labeling system covers mixtures, such as, lubricating oils – and not just pure chemicals. Its target audience is manufacturers and suppliers. 		
C8-14	E	Copy of the procedure(s) that ensures traceability for all hazardous substances (used during manufacturing processes) from purchase and throughout use, to disposal.	<ul style="list-style-type: none"> Procedure for traceability of hazardous substances / chemical substances from purchase, usage to disposal 		
C8-15	E	Copies of material safety data sheets (MSDS / SDS) in local language for all chemical used by the organization.	<ul style="list-style-type: none"> Hardcopy of the material safety data sheets (MSDS / SDS) in local language 		



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Table 8 – Core topic module C8: Environmental management (*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
C8-16	E	Confirmation that the relevant employees who are working with the purchasing, transportation, handling, labeling, production, storage and disposition of hazardous substances have been trained in respect of related laws, regulations, health and safety issues and the organization's emergency preparedness plan.	<ul style="list-style-type: none"> • Training records of the personnel who are handling the hazardous substances / chemicals • Procedures for controlling spills and leakage to mitigate of damage to health and the environment 		
C8-17	E	Confirmation that all chemicals and wastes are stored, collected and disposed of as per manufacturer's instructions/MSDS/legal requirements.	<ul style="list-style-type: none"> • Evidence like receipt, delivery note, vouchers and hazardous waste disposing sheet showing that the facility transfers the chemical and waste to qualified dangerous waste disposal suppliers 		



Table 8 – Core topic module C8: Environmental management (*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
Energy management					
C8-18	E	If the organization has valid 3rd party energy management system certifications specific to its facility location(s), copies of currently valid certificates.	Please provide valid 3rd party energy management system certificates specific to its facility location(s), for example, ISO 50001 and other relevant industry standards	<i>NOTE If valid energy management system certificates is provided, then procurement organization may exempt C8-19 to C8-22 at its discretion</i>	
C8-19	D	Copy of the energy profile regarding the use of various type of energy within the organization's facilities.	<ul style="list-style-type: none"> Energy profile or inventory, e.g., electricity or petroleum fuel. 		
C8-20	D	Copy of the organization's energy saving objectives.	<ul style="list-style-type: none"> Energy saving objectives 		
C8-21	D	Copy of energy consumption monitoring report with record of monitoring frequency.	<ul style="list-style-type: none"> Energy consumption statistics/data, e.g., electricity usage, petroleum usage and the monitoring frequency. 		
C8-22	D	Copy of reviews of the organization's energy management performance and energy saving objectives, with record of review frequency.	<ul style="list-style-type: none"> Management review records and the review frequency on the energy management performance and energy saving objectives. 		





3.9 Core topic module C9 – Quality management

Table 9 sets out the ‘essential’ and ‘discretionary’ information items in respect of quality management system 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 9 – Core topic module C9: Quality Management

Item Ref.	Info Status	Information item required	Description of expected 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
Quality certifications					
C9-01	E	If the organization has 3rd party quality management system certifications specific to its facility location(s), copies of currently valid certificates.	Please provide valid 3rd party quality management system certificate, for example, <ul style="list-style-type: none"> i. ISO 9001; ii. ISO/TS 16949 (automotive); iii. AS/EN 9100 Series (Aerospace) iv. TL 9000 (telecommunication); v. ISO/TS 29001 (Petroleum, petrochemical and natural gas industries); vi. ISO 13485 (Medical Devices) vii. ISO / FSSC 22000 (Food industry) viii. HACCP ix. Other relevant industry standard. 	<i>NOTE If valid quality management system certificate is provided, then procurement organization may exempt C9-04 to C9-11 (except C9-09) at its discretion</i>	
C9-02	D	The number of independent audits conducted by external parties including the certification and/or buyers’ programs against quality management system standards (e.g., ISO 9001 or 2nd party audits) in last 12 months.	Please indicate the number of audits conducted and provide the relevant quality system audit reports conducted in last 12 months conducted last year.		



Table 9 – Core topic module C9: Quality Management (*continued*)

Item Ref.	Info Status	Information item required	Description of expected 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
C9-03	E	If the organization has 3rd party product certifications or labels for its products, copies of currently valid certificates or labels.	Please provide valid 3rd party product quality certificate or labels (product safety, function and construction) <i>NOTE A single test report may NOT be adequate evidence of a Product Certificate or Label.</i>		
Quality management system					
C9-04	E	Copy of a Quality Policy or commitment statement declaring organizational commitment to produce legal and safe products/services to defined specifications.	Please provide a quality policy or commitment statement authorized by the top management and regularly reviewed.		
C9-05	E	Copies of quality manual and master list of quality system procedures.	<ul style="list-style-type: none"> Quality manual Master list of quality system procedures, e.g., standard operation procedure (SOP) for governing the production / service delivery and QC gate, e.g., inspection, checking 		
C9-06	E	Copy of a Corrective Action and Preventative Action procedure.	Please provide the corrective and preventive action procedure/work instruction.		
C9-07	E	Confirmation that the organization operates an effective system for handling customer complaint, investigating the root cause and finalizing the resolution.	Please provide evidence/ samples of complaint handling system: <ul style="list-style-type: none"> complaint cases log; complaint investigation records; corrective and preventive actions implemented; feedback to complaint initiators. 		



Table 9 – Core topic module C9: Quality Management (*continued*)

Item Ref.	Info Status	Information item required	Description of expected 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
Product quality & safety					
C9-08	E	Confirmation that the organization performs final inspection on its products or service/works (by the organization itself or external parties).	<p>Please provide evidence of conducting final inspection, which could include:</p> <ul style="list-style-type: none"> • final product or service/work inspection procedure; • work instruction for final product or service/work inspection (may include the client specific instructions, defect classifications); • final inspection reports; • relevant legislation requirements and/or mandatory standards in the countries of intended sale. 		
C9-09	E	Confirmation that the organization has a process in place to identify raw materials, packaging materials, work in progress, quarantined or defective items, and finished products identified for ensuring the traceability.	<p>Please provide evidence of product identification and traceability which could include:</p> <ul style="list-style-type: none"> • procedure/guideline describing the product identification system and traceability method; • tag, label and marking with necessary information for traceability (e.g., product type, name, order number, date code, lot number, item number); • receiving records for those raw materials or main components (Who and when supply those materials? What is the lot No. or date code?) and the issuing record for those raw materials or main components (Whom and by when issue those materials to production department); • handling or disposal records of defective / sub-standard materials or items. 		

Table 9 – Core topic module C9: Quality Management (*continued*)

Item Ref.	Info Status	Information item required	Description of expected 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
C9-10	D	Confirmation that the organization has a designated individual or department with particular responsibility for Product Safety Compliance.	<ul style="list-style-type: none"> • Please indicate the number of person(s) responsible for product safety compliance • Job description for product development staff or engineering staff who are responsible for the product safety compliance • Procedure stating who is responsible for validating the product safety of new product prior to release to mass production. 		
C9-11	E	Confirmation that the organization's Quality Assurance (QA) and Quality Control (QC) personnel responsible for Product Safety and Quality Compliance independent from the production personnel.	<ul style="list-style-type: none"> • Organization Chart • Job description for quality assurance and control staff • Evidence showing the shipment would not be authorized without signed QC inspection reports. 		



4 Additional prequalification topic modules

4.0 Essential and discretionary information items

4.0.1 The information items identified as 'E' in the status column of Table 10 to Table 15 are specified as 'essential' information items that shall be included as part of prequalification processes where the nature of the procurement make the particular additional topic module necessary (i.e., moving from 'additional' to 'core') (5 and 6.2c), unless provision is made for exclusion in that particular topic module and adopted by the organization's procurement policies.

4.0.2 The information items identified as 'D' in the status column of Table 10 to Table 15 are specified as 'discretionary' information items, to be included as part of prequalification processes where the particular additional topic module is moved to 'core' and 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 6.2d).

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 3 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. The red disc at the top of the figure provides a link back to the start of the core prequalification topic modules, at Clause 3.

Figure 3 – Index of topic modules (with hyperlinks)



4.1 Additional topic module A1 – Business ethics

Table 10 sets out the ‘essential’ and ‘discretionary’ information items in respect of business ethics that shall be provided in accordance with Clause 5 and used in accordance with 6.2c) and 6.2d) respectively, on the basis of the description of expected information provided in relation to each particular information item.



Table 10 – Additional topic module A1: Business ethics

Item Ref.	Info Status	Information item required	Description of expected 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
Anti-bribery and fraud					
A1-01	E	If the organization has a 3rd party anti-bribery management system, copies of currently valid certificates.	Please provide valid 3rd party anti-bribery management system certificate, for example, BS 10500 or other relevant industry standards.	<i>NOTE If valid 3rd party anti-bribery management system certificate is provided, then procurement organization may exempt A1-02 to A1-04 at its discretion</i>	
A1-02	E	Copy of a risk assessment regarding the bribery and/or fraud risk in relation to its business activities ensuring they are proportionate to the specific country, environment and industry sector risk.	Please provide evidence that the organization conducted the risk assessment regarding the bribery and/or fraud risk. The risk assessment could include the below elements: <ol style="list-style-type: none"> i. identification of bribery and/or fraud risk in relation to its existing and proposed new activities; ii. evaluation on whether its current policies, procedures and controls are adequate to reduce those risks to an acceptable level; iii. implementation of additional controls (proportionate and reasonable) to the residual. 		



Table 10 – Additional topic module A1: Business ethics (*continued*)

Item Ref.	Info Status	Information item required	Description of expected 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
A1-03	D	Confirmation that the organization undertakes due diligence measures on the potential business associates, that might pose a more than negligible bribery and/or fraud risk, prior to entering into any formal business relationship with them.	<p>Please provide evidence of the due diligence measures undertaken by the organization prior to entering into business relationship with a business associate.</p> <p>Due diligence measures could include evidence of:</p> <ul style="list-style-type: none"> i. web / newspaper search on the business associate and its shareholders and top management to identify any negative comments related to bribery and/or fraud issues; ii. making enquiries of appropriate third parties about the business associate's ethical reputation; iii. assessing the necessity and legitimacy of the services to be provided by the business associate; iv. sending questionnaire to the business associate to identify any bribery and/or fraud issues in relation to the shareholders and top management; v. incorporating 'anti-bribery management system' into pre-qualification tender documentation; vi. incorporating 'anti-bribery management system' into contract terms. 		



Table 10 – Additional topic module A1: Business ethics (*continued*)

Item Ref.	Info Status	Information item required	Description of expected 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
A1-04	E	Confirmation that the organization provides anti-bribery and/or anti-fraud education and/or training to all personnel, who could encounter bribery in relation to their duties, on a regular basis.	Please provide the training plan, training records and evaluation of understanding on the organization's anti-bribery and/or anti-fraud policy, procedures and risk.		
Intellectual property					
A1-05	E	The number of intellectual property rights and/or patents held by the organization in respect of its products and/ or services.	<ul style="list-style-type: none"> • Please indicate the number of intellectual property rights and/or patents • Please provide sample of certificate or registration about the intellectual property right or patent of its products/services. 		
A1-06	E	The number of licenses to manufacture granted to the organization.	<ul style="list-style-type: none"> • Please indicate the number of licenses to manufacture • Please provide sample of licenses agreement / certificate to manufacture 		
A1-07	D	Confirmation that the ownership and management of intellectual property and/or patent is specified in contracting documents where relevant.	Please provide copy of Standard Terms of Contract or equivalent document.		
A1-08	E	Confirmation that the organization requires its employees, who will be in contact with or make use of intellectual property, patented items or other confidential information to sign a Non-Disclosure Agreement (NDA).	Please provide the template of Non-Disclosure Agreement (NDA) or other evidence of protecting the confidentiality of the intellectual property, patented items and/or confidential information.		





4.2 Additional topic module A2 – Supply chain traceability

Table 11 sets out the ‘essential’ and ‘discretionary’ information items in respect of supply chain traceability that shall be provided in accordance with Clause 5 and used in accordance with 6.2c) and 6.2d) respectively on the basis of the description of expected information provided in relation to each particular information item.

Table 11 – Additional topic module A2: Supply chain traceability

Item Ref.	Info Status	Information item required	Description of expected 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
A2-01	E	Confirmation that the organization has a process to ensure its procurement policy for supplier selection and performance improvement are aligned with its core values, code of conduct and client requirements.	<ul style="list-style-type: none"> • Organization’s core values • Supply Chain Policy, • Supplier Code of Conduct • Procurement policy/procedure • Supplier letter • PAS 7000 or other relevant industry standards. 		
A2-02	E	Confirmation that the organization maintains an up-to-date register of all its suppliers in a manner that enables differentiation between supplier type (i.e., between direct facilities e.g., manufacturers and indirect suppliers e.g., agents, wholesalers, importers).	<ul style="list-style-type: none"> • *Sample/template of supplier register with indication of the supplier type/nature • Evidence demonstrating the organization is managing the reputational risk throughout its supply chain. 		
A2-03	D	Copy of the procedure for verifying the living profiles, i.e. identity, capacity, capabilities and qualifications of the organization’s suppliers on a periodic basis.	<ul style="list-style-type: none"> • Please provide the procedure and records for verifying the profiles of its suppliers and the frequency including any requirement for them to provide relevant information in accordance with PAS 7000 • *Sample of suppliers’ company profile 		





Table 11 – Additional topic module A2: Supply chain traceability (continued)

Item Ref.	Info Status	Information item required	Description of expected 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
A2-04	E	Copy of the procedure for assessing the organization's suppliers, before entering into business relationships, to ensure they are aligned with your organization's core values, code of conduct and/or procurement policy	<ul style="list-style-type: none"> Please provide the procedure and records for assessing supplier 		
A2-05	D	Confirmation that the organization physically visits the organization's key suppliers to verify if they adhere to the organization's core values, code of conduct and/or procurement policy at a regular basis.	<ul style="list-style-type: none"> Please provide the procedure for visiting the key suppliers *Sample/template of supplier visit records/ report 		
A2-06	E	Copy of the policy/procedures that prohibit the organization from making false claims concerning the country of origin, manufacture, processing, or assembly of the product or any of its components.	Company policy / procedure authorized by the organization's management, that demonstrates the requirement that the organization requires all information concerning the country of origin, manufacture, processing, or assembly of products or components, to be true and unequivocal.		

Table 11 – Additional topic module A2: Supply chain traceability (*continued*)

Item Ref.	Info Status	Information item required	Description of expected 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
A2-07	E	Confirmation that the organization maintains and is prepared to make available on request, the documentation necessary to support claims referred to at A2-06 and that it is not involved in any false, un-disclosed or illegal claims relating to the transshipment of goods.	<p>Please provide evidence/samples of 'Country of Origin' documentation which could include:</p> <ul style="list-style-type: none"> • purchase orders, • raw materials and/or components invoices • outgoing and incoming records of components/materials sent to or received from another facility • production records • employee time records (accurate records of number of employees and employees' work hours that can be linked to the production of specific products) • equipment inventory profile (including the number of machines, types of machines, daily production capacity) • export documents (including, where applicable, certification from both the manufacturer and the exporter, copies of the quota and visa, if your facility is the quota provider, packing list, manifest, bill of lading/ airway bill from truck, ship, plane or train indicating the export date, exporting entity, destination, shipping lines, importing entity, and any charges incurred). 		

***NOTE** Applicable data protection regulations may require the deletion or blocking out of personal/client/supplier details, in the samples submitted.



4.3 Additional topic module A3 – Supply chain security management

Table 12 sets out the ‘essential’ and ‘discretionary’ information items in respect of supply chain security management that shall be provided in accordance with Clause 5 and used in accordance with 6.2c) and 6.2d) respectively, on the basis of the description of expected information provided in relation to each particular information item.



Table 12 – Additional topic module A3: Supply chain security management

Item Ref.	Info Status	Information item required	Description of expected 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
Supply chain security certifications					
A3-01	E	If the organization has 3rd party supply chain security System certifications, copies of currently valid certificates.	<p>Please provide valid 3rd party supplier chain security management system certificates, for example</p> <ul style="list-style-type: none"> i. Customs Trade Partnership Against Terrorism (C-TPAT) for US; ii. Authorized Economic Operators (AEO) for EU, Japan, Taiwan etc.; iii. Partners in Protection (PIP) for Canada; iv. Secure Trade Partnership (STP) for Singapore; v. Other relevant industry standard. 	<i>NOTE If valid supplier chain security management system certificate is provided, then procurement organization may exempt A3-03 to A3-17 at its discretion</i>	
A3-02	D	The number of independent audits conducted by external parties including the certification and/or buyers’ programs against supply chain security system assessment standards (e.g., C-TPAT or 2nd party audits) in last 12 months.	<ul style="list-style-type: none"> • Please indicate the number of audits conducted and provide the supplier chain security audit reports conducted in last 12 months. 		



Table 12 – Additional topic module A3: Supply chain security management (*continued*)

Item Ref.	Info Status	Information item required	Description of expected 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
Procedural Security					
A3-03	E	Copy of the organization's security management policy or commitment statement declaring its commitment to comply with supply chain security requirements and continuous improvement in security performance.	Please provide security management policy / commitment statement authorized by the senior management of the organization and regularly reviewed.		
A3-04	E	Copy of the organization's procedure(s) for verifying incoming and departing cargo.	Please provide procedures, records or evidence that demonstrates incoming and outgoing cargoes are verified against manifest documents including quantity count, weight check, labels.		
A3-05	D	Copies of the organization's policies / procedures for the disposal of branded waste (e.g., rejected products or packaging bearing customers' brand name or logo) to prevent unauthorized use (e.g. being re-used in counterfeit products).	Please provide policy/procedure for the disposal of branded waste.		



Table 12 – Additional topic module A3: Supply chain security management (*continued*)

Item Ref.	Info Status	Information item required	Description of expected 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
Physical Security					
A3-06	E	The nature, materials and type of construction of the organization's buildings and related infrastructure, with particular focus on resisting unlawful entry and protecting against other outside intrusion by reasonable force.	Please specify the nature, materials and type of construction of the buildings and infrastructure which are designed to resist unlawful or unauthorized entry		
A3-07	E	Confirmation that all windows, doors, gates, fences or other barriers, which lead to external and restricted areas, are secured with locking devices.	<ul style="list-style-type: none"> • Security procedure stating all windows, gates and fences, which lead to external or restricted areas, are secured with locking devices. • Security inspection records showing the checking on the locking device of windows, gates and fences. 		
A3-08	E	Confirmation that all gates for employees, visitors and vehicles entrances / exits are guarded and/or remotely monitored that prohibits or deters unlawful or unauthorized entry.	<ul style="list-style-type: none"> • Security procedure stating all gates, vehicles entrances / exits are guarded and/or monitored • Job description of the security guard • Signage prohibiting unlawful or unauthorized entry. • Photos of guard posted at gates, vehicles entrances / exits or CCTV monitoring system. 		
Access Controls					
A3-09	E	Confirmation that the organization has an employee identification system for the purpose of positive identification and access control.	<ul style="list-style-type: none"> • *Sample of employee identification cards with different access levels • Employee manual describing the rules of identification and access control. • Employee in/out records 		
A3-10	E	Copies of the organization's policies / procedures requiring photo identification of all visitors prior to entering the facility.	<ul style="list-style-type: none"> • Policy/procedure that requires photo identification of all visitors prior to entering the facility. 		



Table 12 – Additional topic module A3: Supply chain security management (*continued*)

Item Ref.	Info Status	Information item required	Description of expected 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
Personnel Security					
A3-11	D	Copies of the organization's policies / procedures for conducting employee background checks, or if such checks are prohibited by national or locally applicable statutes or regulations, a statement to that effect.	<ul style="list-style-type: none"> Employee background checks policy/ procedure or statement of prohibiting background check as per national or locally applicable statutes or regulations. 		
A3-12	E	Copies of the organization's policies / procedures for employees leaving the organization to return/remove all identification materials and/ or facility and system access/keys, issued to them.	<ul style="list-style-type: none"> Termination procedures for returning identification card/badge, removing access to company facility and computer systems, and returning of all company owned property. 		
Container /Trailers/Vehicles/Railcars Security					
A3-13	E	Copy of the organization's procedure(s) and related record of implementation for verifying the integrity and security of containers/ trailers/ trucks/ vehicles / railcars (e.g., by undertaking a 7-point inspection for container) prior to cargo loading.	<ul style="list-style-type: none"> Procedures, records or evidence that demonstrates the inspections are conducted on empty containers/trailers/ trucks/vehicles/ railcars. <p><i>NOTE 7-point inspection is performed on the empty container (Outside/ Undercarriage, Inside/Outside of Doors, Right side, Left Side, Front Wall, Ceiling/Roof, Floor Inside) to check for false compartments, walls, floors or tops that could be used to conceal contraband.</i></p>		

Table 12 – Additional topic module A3: Supply chain security management (*continued*)

Item Ref.	Info Status	Information item required	Description of expected 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
A3-14	E	Copy of the organization's procedure(s) for affixing proper seals (e.g., trans-border containers should use ISO/PAS 17712 compliant high security seals) to containers/trailers/ trucks/vehicles/railcars after loading.	<ul style="list-style-type: none"> Procedure that demonstrate proper seals (e.g., trans-border containers should use ISO/PAS 17712 compliant high security seals) are stored, issued and affixed to containers/ trailers/ vehicles /railcars after loading. 		
A3-15	E	Confirmation that a security officer or other competent person authorized by the organization to supervise the loading of containers/trailers/trucks/vehicles/ railcars.	<ul style="list-style-type: none"> Procedures or records that demonstrates the loading of containers/trailers/trucks/ vehicles/ railcars is supervised by authorized staff or security officer. Job description of security officer or job assignment notice to designated staff for supervising the loading process. 		
A3-16	E	Copy of the organization's procedure for affixing, replacing, recording, and tracking the security seals placed on containers/trailers/trucks/vehicles/railcars.	<ul style="list-style-type: none"> Procedure that demonstrate seals are properly secured, recorded, tracked, affixed and replaced to loaded containers /trailers/ trucks/vehicles/ railcars. 		
Security training					
A3-17	E	Confirmation that specific training is conducted to assist employees in maintaining the integrity of cargo and premises and preventing unauthorized access.	<ul style="list-style-type: none"> Training records of the personnel who maintain cargo and premises integrity and prevent unauthorized access. 		



4.4 Additional topic module A4 – Equal opportunity and freedom of association

Table 13 sets out the ‘essential’ and ‘discretionary’ information items in respect of equal opportunity and freedom of association that shall be provided in accordance with Clause 5 and used in accordance with 6.2c) and 6.2d) respectively, on the basis of the description of expected information provided in relation to each particular information item.



Table 13 – Additional topic module A4: Equal opportunity and freedom of association

Item Ref.	Info Status	Information item required	Description of expected 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
A4-01	E	Copy of the policy/procedures that prohibit discrimination based on the grounds of color, race, ethnicity, age, gender, sexual orientation, disability, religion, political affiliation, association / union membership, marital status, pregnancy or medical condition. (Except where required by legislation, e.g., restriction on assigning hazardous activities to young labor or pregnant women.)	<ul style="list-style-type: none"> Company policy / procedure authorized by the organization management stating any kinds of discrimination are not allowed. 		
A4-02	E	Copy of the organization’s employment policy / practice to ensure employees are employed based on skill and ability rather than any personal characteristics, religions or subjective requirements.	<ul style="list-style-type: none"> Employment policy / procedure stating that employees are employed based on skill and ability. 		



Table 13 – Additional topic module A4: Equal opportunity and freedom of association (*continued*)

Item Ref.	Info Status	Information item required	Description of expected 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
A4-03	E	Confirmation that the organization has and implements a policy to promote equal opportunity for rewards, promotion, access to training, termination and retirement based on ability, merit and performance but not on personal characteristics or religions.	<ul style="list-style-type: none"> • HR procedure or criteria for rewards, promotion, termination and retirement. • Template of employee appraisal • *Sample/template of training needs and/ or development plan 		
A4-04	E	Copy of the policy/procedures that grant employees the rights to associate freely, choose, join or not join unions or other employee representative organization and collective bargaining. Where any or all of these rights are prohibited by law, a statement to that effect.	<ul style="list-style-type: none"> • Company policy / procedure authorized by the organization management stating the employees are freely to join or choose union or other employee representative organization and collective bargaining. 		



4.5 Additional topic module A5 – Disciplinary practices and abuse

Table 14 sets out the ‘essential’ and ‘discretionary’ information items in respect of disciplinary practice and abuse to be provided in accordance with Clause 5 and used in accordance with 6.2c) and 6.2d) respectively on the basis of the description of expected information provided in relation to each particular information item.

Table 14 – Additional topic module A5: Disciplinary practices and abuse

Item Ref.	Info Status	Information item required	Description of expected 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
A5-01	E	Copy of policy/procedures that prohibits corporal punishment, mental or physical coercion, sexual harassment, verbal abuse and threat of such treatment.	<ul style="list-style-type: none"> Company policy / procedure authorized by the organization management stating corporal punishment, mental or physical coercion, sexual harassment, verbal abuse and threat of such treatment are not allowed. 		
A5-02	E	Confirmation that the organization has and implements a reporting system where all employees are able to freely report any (potential) violation against the abuse and/ or harassment policy in an environment that the whistle-blowers feel comfortable.	<ul style="list-style-type: none"> Procedure, guideline or manual of the violation reporting system, e.g., whistleblowing hotline that provides anonymous and confidential service. Procedure, logs or other evidences demonstrating that violation against the abuse and harassment policy are reported. 		
A5-03	E	Copy of the policy/procedures that avoids the use of deductions from wages or other financial penalties as a disciplinary measure.	<ul style="list-style-type: none"> Policy/procedure stating that deduction from wages or other financial penalties as a disciplinary measure is avoided. 		



4.6 Additional topic module A6 – Business continuity management

Table 15 sets out the 'essential' and 'discretionary' information items in respect of business continuity management that shall be provided in accordance with Clause 5 and used in accordance with 6.2c) and 6.2d) respectively, on the basis of the description of expected information provided in relation to each particular information item.



Table 15 – Additional topic module A6: Business continuity management

Item Ref.	Info Status	Information item required	Description of expected 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
A6-01	E	If the organization has 3rd party business continuity management system certifications, copies of currently valid certificates.	Please provide valid 3rd party business continuity management system certificate, for example, ISO 22301 or other relevant industry standard.	<i>NOTE</i> If valid business continuity management system certificate is provided, then procurement organization may exempt A6-02 to A6-11 at its discretion	
A6-02	D	Copy of process flow chart / table or other documents that identify the essential activities for delivery of the organization's products, services, and works.	Please provide the evidence of identifying the organization's essential activities, e.g., process flow chart / table.		
A6-03	E	Copy of documents that identify the potential risks that could threaten the continuity of organization's key activities.	Please provide the evidence of identifying potential risks to organization's key activities by considering from different aspects, for examples, <ul style="list-style-type: none"> i. fire; ii. flooding; iii. natural disaster (e.g., typhoon, earthquake, tsunami); iv. malicious actions by employees or others; v. labor issue (e.g., strike); vi. serious reputational damage; vii. critical suppliers; viii. disruption to key services (e.g. water, power, IT system, staff availability, key equipment failures). 		



Table 15 – Additional topic module A6: Business continuity management (*continued*)

Item Ref.	Info Status	Information item required	Description of expected 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
A6-04	D	Copy of risk assessment of the identified potential risks with reference to severity of impact and likelihood of occurrence.	<p>Please provide the evidence of conducting risk assessment.</p> <p>The risk assessment could include the elements of:</p> <ul style="list-style-type: none"> i. Identification of potential risks of disruptive incidents; ii. Severity of the identified risk; iii. Likelihood of occurrence of the identified risk; iv. Final rating of the identified risk; v. Criteria for implementing a treatment to the identified risk. 		
A6-05	E	Confirmation that the organization has and implements measures for the identified risks requiring treatment to reduce the impacts to the business.	<p>Please provide the evidences of measures that:</p> <ul style="list-style-type: none"> i. Reduce the likelihood of disruptive incidents (e.g., adopt multiple supplier strategy to establish 2 or more sources of supply for critical suppliers); ii. Shorten the period of disruptive incidents (e.g., install back-up power generator on key production sites); iii. Limit the impact of disruptive incidents on the key products and services. 		



Table 15 – Additional topic module A6: Business continuity management (*continued*)

Item Ref.	Info Status	Information item required	Description of expected 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
A6-06	E	Copy of documented business continuity plans or procedures for responding to disruptive incident including how it will continue or recover its key activities that support the organization's products and services.	<p>Please provide documented business continuity plans or equivalent documents.</p> <p>The business continuity plans or equivalent documents could include the elements of:</p> <ol style="list-style-type: none"> i. defined role and responsibility for people and teams having authority during and following an incident; ii. a process for activating the response; iii. details of strategic, tactical and operational options for responding to the disruptive incidents; iv. details on prevention of further loss; v. details on how and under what situations the organization will communicate with employees and their relatives, key interested parties and emergency contacts; vi. details on how to continue or recover the critical activities within predetermined timeframe; vii. details of media response, e.g., preferred interface with the media and spokespeople, following an incident that can affect the organization's reputation; viii. process for standing down once the incident is over. 		
A6-07	E	Copy of documented schedule for exercising business continuity plans and arrangements.	<ul style="list-style-type: none"> • Please provide the schedule for exercising business continuity plans. • Evidences/records/photos of most recent exercises. 		
A6-08	D	Confirmation that the organization uses the exercise results to improve and update your business continuity plans and arrangements.	Please provide the evidence of using the exercise results to improve and update your business continuity plans and arrangements.		



Table 15 – Additional topic module A6: Business continuity management (*continued*)

Item Ref.	Info Status	Information item required	Description of expected 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
A6-09	D	Confirmation that the organization trains its senior management & operational management teams in business continuity planning and how to manage incidents.	Please provide the training plan and/or training/briefing records for the organization's senior management & operational management teams in respect of the business continuity plans and incident management.		
A6-10	D	Confirmation that the organization trains its staff about the business continuity procedures and their roles and responsibilities.	Please provide the training plan and/or training/briefing records in respect of the staff roles and responsibilities when an incident occurs.		
A6-11	E	Confirmation that the organization assesses the business continuity capabilities of its critical suppliers (particularly those for which alternatives are not readily available, or where all alternatives themselves have a common supplier) and reviews them on a regular basis.	Please provide samples of records of regularly assessing and reviewing the critical suppliers' business continuity system and capabilities, e.g., supplier assessment report.		



5. Rules for information provision (by suppliers)

5.1 Information to be included

Suppliers shall provide the information identified in categories 1 to 7 of Table 16 and described in this sub clause, in the manner set out in the respective topic module:

Table 16 – Supplier information categories

#	Core Topic Modules C1 to C9		Selected Additional Topic Modules A1 to A6	
Category 1	Essential information items			
Category 2	Essential information items	Discretionary information items		
Category 3	Essential information items		Essential information items	
Category 4	Essential information items		Essential information items	Discretionary information items
Category 5	Essential information items	Discretionary information items	Essential information items	
Category 6	Essential information items	Discretionary information items	Essential information items	Discretionary information items
Category 7	Essential and discretionary information items in Core topic modules		Essential and discretionary information items in <u>ALL</u> Additional topic modules	

Category descriptions

- Category 1:** All essential information items identified in the core topic modules C1 to C9 (Clause 3.1 to Clause 3.9);
- Category 2:** All essential and all discretionary information items identified in the core topic modules C1 to C9 (Clause 3.1 to Clause 3.9);
- Category 3:** Category 1 plus all essential information items identified in selected additional topic modules A1 to A6 (Clause 4.1 to Clause 4.6)
- Category 4:** Category 1 plus all essential and all discretionary information items identified in selected additional topic modules A1 to A6 (Clause 4.1 to Clause 4.6)
- Category 5:** Category 2 plus all essential information items identified in selected additional topic modules A1 to A6 (Clause 4.1 to Clause 4.6)
- Category 6:** Category 2 plus all essential and all discretionary information items identified in selected additional topic modules A1 to A6 (Clause 4.1 to Clause 4.6)
- Category 7:** All essential and all discretionary information items identified in all topic modules C1 to C9 and A1 to A6.

***NOTE** Category 7 requires the provision of 100% of the information identified in PAS 7000 as relevant to supplier prequalification.*

5.2 Limit of application.

Suppliers that conform to PAS 7000, although they can be regarded as eligible for prequalification by any procurement organization claiming compliance with PAS 7000 for its prequalification process, shall not claim to be prequalified until their provided information has been assessed and accepted by a procuring entity (buyer or assessment provider).

***NOTE** Additional topic modules that are not migrated to core topic module 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 never-the-less relevant prequalification topic modules that are likely to be included in other prequalification processes. Suppliers should prepare responses to all the additional topic modules, as available resource permits, to facilitate their enhanced provision of information in relation to future prequalification activities.*



6. Rules for information acquisition (by buyers)

6.1 Precondition for entities intending to apply PAS 7000

Entities intending to establish supply chains on the basis of PAS 7000 shall make publicly available a declaration of the governance, risk and compliance (GRC) principles that underpin their business activities and that are to be applied to the formation and operation, of their supply chain. Such declaration shall include commitment to maintain the confidentiality of information acquired as part of that process.

NOTE The content of this declaration is at the discretion of the entity concerned.

6.2 Use of topic modules and information items

Buyers/ assessment providers intending to apply PAS 7000 in the acquisition of information in respect of potential supply chain partners shall:

- a) Include all the 'essential' information items identified in core topic modules C1 to C9 (see Clause 3, and Table 1 to Table 9) without modification of the item description and only permitting exclusion as provided for in the relevant table and adopted by the organization's procurement policies.
- b) Clearly identify whether discretionary information items from core topic modules C1 to C9 are to be included.
- c) Where the subject of an additional topic module (**A1 to A6**) is relevant, include all the 'essential' information items from the relevant topic module (see Clause 4, Table 10 to Table 15), without modification of the item description and only permitting exclusion as provided for in the relevant table and adopted by the organization's procurement policies.
- d) Clearly identify whether discretionary information items from additional topic modules (**A1 to A6**) are to be included.
- e) Confirm whether or not any additional topic modules and/ or discretionary information items, not specifically asked for would be taken into account in any assessment, if provided.
- f) Require from suppliers only documentary evidence that is essential for assessing supplier suitability on the basis of provision of the information sought.

6.3 Supplementary information

A buyer needing to acquire supplementary information e.g. for professional and/ or technical reasons that relate to the particular nature of a given supply chain relationship, shall ensure that such information is:

- a) Defined so as to obtain only information that is:
 - necessary to prequalify a supplier in the particular circumstances relating to a specific relationship;
 - not duplicating information items already included i.e. is clearly supplementary to that already addressed by the information identified in this PAS.
- b) Where requested supplementary information is related to one of the topic modules of this PAS, numbered such that the number sequence of the PAS topic module in which they are inserted is not broken.

6.4 Assessment criteria

The criteria used to assess supplier provided information shall be derived solely from the information items identified as required from suppliers in topic modules C1 to C9 and A1 to A6 (Table 1 to Table 15) and in any supplementary information that is requested by buyers. Buyers or assessment providers applying PAS 7000 as part of their prequalification processes shall make information in respect of any weighting or ranking to be applied, freely available to any potential supplier.

7. Declarations of compliance with PAS 7000

7.1 Suppliers

Suppliers claiming compliance with PAS 7000 shall do so in one of the following forms:

a) Auditing by 3rd Party Certification Body in compliance with ISO/IEC 17021

Where compliance has been confirmed by an independent third party certification body that conforms to BS EN ISO/IEC 17021-3:

Supply chain relationship information and supporting evidence in accordance with PAS 7000: 2014 category [‘1 to 7’ specified in Clause 5.1], provided by [insert name of supplier], [insert name of certification body] certified.

b) Auditing by another party not meeting the requirements of ISO/IEC 17021

Where compliance has been confirmed by audit by another party that does not conform to BS EN ISO/IEC 17021-3:

Supply chain relationship information and supporting evidence in accordance with PAS 7000: 2014 category [‘1 to 7’ specified in Clause 5.1], provided by [insert name of supplier], [insert name of auditing entity] confirmed.

c) Supplier Self-assessment

Where compliance is based on self-assessment by the supplier:

Supply chain relationship information and supporting evidence in accordance with PAS 7000: 2014 category [‘1 to 7’ specified in 5.1], provided by [insert name of supplier], self-assessed.

NOTE Suppliers claiming compliance with this PAS through the use of one of the permitted declarations at a), b) or c) of clause 7.1 are confirming that they have provided the information specified in the relevant topic modules in accordance with one of the seven categories of the PAS 7000 information model provided for in 5.1.

7.2 Buyers / Procuring organizations

Buyers, assessment providers or other procuring organizations, claiming compliance with PAS 7000 shall do so in one of the following forms:

a) Auditing by 3rd Party Certification Body in compliance with ISO/IEC 17021

Where compliance has been confirmed by an independent third party certification body that conforms to BS EN ISO/IEC 17021-3:

Supply chain partnerships entered into by [insert name of procuring entity] are established on the basis of the supply chain relationship information and supporting evidence acquired as specified in PAS 7000: 2014 [insert name of certification body] certified.

b) Auditing by another party not meeting the requirements of ISO/IEC 17021

Where compliance has been confirmed by audit by another party that does not conform to BS EN ISO/IEC 17021-3:

Supply chain partnerships entered into by [insert name of procuring entity] are established on the basis of the supply chain relationship information and supporting evidence specified in PAS 7000: 2014 [insert name of auditing entity] confirmed.

c) Buyer Self-assessment

Where compliance is based on self-assessment by the procuring entity:

Supply chain partnerships entered into by [insert name of procuring entity] are established on the basis of the supply chain relationship information and supporting evidence specified in PAS 7000: 2014, self-assessed.

NOTE Buyers, assessment providers or other procuring organizations claiming compliance with this PAS through the use of one of the permitted declarations at a), b) or c) of clause 7.2, are confirming that they are basing their prequalification assessments on the various permitted configurations of the PAS 7000 information model in the manner provided for in 6.1 to 6.4. This includes confirmation that:

- they are not altering the description of the information required,
- any supplementary information has been confirmed as ‘necessary’ and is not duplicated.
- they are not requiring an unreasonable amount of evidence.

8 Bibliography

Standards publications

For dated references, only the edition cited applies. For undated references, the most recent edition of the referenced document (including any amendments) applies.

BS 10500:2011, *Specification for an anti-bribery management system (ABMS)*

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

BS OHSAS 18001:2007, *Occupational health and safety management systems – Requirements*

ISO 14001:2004, *Environmental management systems – Requirements with guidance for use*

ISO 27000:2012, *Information technology – Security techniques – Information security management systems – Overview and vocabulary*

ISO 27001:2013, *Information technology – Security techniques – Information security management systems – Requirements*

ISO 27002:2013, *Information technology – Security techniques – Code of practice for information security controls*

ISO 22301:2012, *Societal security – Business continuity management systems – Requirements*

ISO 50001:2011, *Energy management systems – Requirements with guidance for use*

ISO 9001: 2008, *Quality Management System – Requirements*

PAS 555:2013, *Cyber security risk – Governance and management – Specification*

PAS 91:2013, *Construction prequalification questionnaires*

PAS 223:2011, *Prerequisite programmes and design requirements for food safety in the manufacture and provision of packaging*

PD 25222:2011, *Business continuity management – Guidance on supply chain continuity*

Other publications for reference

- 1) 3PQ Business Continuity Questionnaire
- 2) ILO Convention No. 138
- 3) Ethical Trading Initiative (ETI) Base Code
- 4) Electronic Industry Citizenship Coalition® (EICC®) Code of Conduct, Version 4.0 (2012)
- 5) BSCI Code of Conduct, Version 3, 2009
- 6) Guide to data protection
- 7) Standards for Suppliers Manual, Wal-Mart Stores, Inc., March 2014
- 8) C-TPAT Minimum security criteria for foreign manufacturers

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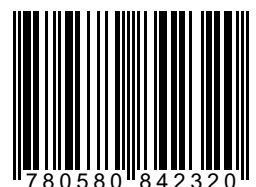
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