

Social Responsibility Management Questionnaire for Shinhan Financial Group Partners

The deadline for submitting responses to this questionnaire is up to one year from the date of the announcement of the bid. Respondents should only answer questions marked in blue.

Where any required attachment is specified, the relevant materials must be attached in the form of documents or files (e.g., printed materials or CD or USB, etc.). Otherwise, the question is considered Not Fulfilled.

Company Name	
Respondent Department/Name/Title	
Respondent Email/Work Phone	

I. Basic Rights of Workers

This section addresses the subjects of human rights of workers and their working environment and conditions (including contract workers, temporary workers, and other types of workers).

No.	Question	Answer <i>Multiple-choice: Provide your choice Open-ended: Provide your answer</i>	Attachment required
1	Do you have any system running in place to handle employees' grievances? (*Example of grievance handling system: Online grievance reporting and counseling channels, grievance handling personnel, etc.) 1) No, we do not have such system. 2) Yes, we have a relevant system operated.		Grievance handling histories, relevant web pages (screen captures or URL), responsible person (contact info.), etc.
2	Do you have any programs that promote communication between management and workers? (e.g., labor-management council, labor union, etc.) 1) No, we do not have such program. 2) Yes, we have a relevant program operated.		Operational/performance report, meeting minutes, planning documents, relevant photos, etc.
3	Have there been any labor-management disputes such as strikes, sabotage, or lockouts in the past year? 1) Yes, there was a labor-management dispute(s). 2) No, there was no such case.		N/A
4	Is your company committed to complying with labor standards? (Overtime/Night work/Holiday work, leave/vacation, etc.) 1) We do not have any activity to encourage or ensure the compliance with labor standards. 2) We have policies, programs, training, etc. to encourage or ensure the compliance with labor standards.		Enforcement statements, guidelines, internal regulations, training materials, etc.
5	Do you clearly communicate terms and conditions of employment, such as payment and calculation of wages, to your workers? 1) We do not document the terms of employment, we do so only verbally. 2) We document the terms of employment and inform our employees of them clearly.		Employment contract, salary contract, etc.
6	What is the total number of training hours per employee per year? (Including online training, unit: hours)		Education expenses (external education) Education histories (in-house education)

II. Workplace Safety and Health

This section addresses your efforts to build safer and healthier work environments and your understanding of the impact of the safety and health of workers on the quality of goods and services.

No.	Question	Answer <i>Multiple-choice: Provide your choice Open-ended: Provide your answer</i>	Attachment required
7	Did you conduct safety and health (education) training for workers last year? 1) We did not provide both work safety and health education/training and workplace safety evaluation. 2) We provided work safety and health education/training but not workplace safety evaluation. 3) We provided workplace safety evaluation but not work safety and health education/training. 4) We provided both work safety and health education/training and workplace safety evaluation.		Evidence of education or training (photos, documents, etc.), safety evaluation report, details of safety improvement activities, etc.
8	Do you have a dedicated team and the manuals (processes) in place for work safety management? 1) We have a dedicated team and documented manuals for safety management. 2) We have neither a dedicated team nor manuals for safety management.		Safety management organization chart, safety work management manual, safety accident handling process, etc.
9	Have you suffered from any industrial accidents recently? 1) Yes, we had at least one occupational accident in the past three years. 2) No, we had no occupational accidents in the past three years.		N/A
10	Are you running a workers' health care program*? (*: health check-up support, health counseling, etc.) 1) We have no workers' health care program running in place. 2) We have workers' health care programs, including financial support for regular comprehensive check-ups and medical expenses.		Health check-up histories, health management program introduction, etc.
11	Have you violated any safety and health regulations recently? 1) We had at least one case of court conviction for violation of safety and health regulation in the past three years. 2) We had no case of court convictions for violation of safety and health regulation in the past three years.		N/A

III. Environment

This section addresses corporate responsibility to the environment and corporate efforts to minimize negative impacts on the environment.

No.	Question	Answer <i>Multiple-choice: Provide your choice Open-ended: Provide your answer</i>	Attachment required
12	<p>Is your energy (electricity, city gas, diesel, gasoline, LPG, etc.) consumption monitored and managed?</p> <p>1) We do not monitor our energy consumption. 2) We monitor and manage our energy consumption.</p> <p>12-1 Please indicate your total power consumption for the year before the last year in GJ. 12-2 Please indicate your total power consumption for the last year in GJ.</p>		Energy consumption matrix with electricity, city gas, diesel, gasoline, LPG, etc.
13	<p>Is your water (waterworks, groundwater) consumption monitored and managed?</p> <p>1) We do not monitor our water consumption. 2) We monitor and manage our water consumption.</p> <p>13-1 Please indicate your total water consumption for the year before the last year in m³. 13-2 Please indicate your total water consumption for the last year in m³.</p>		Water consumption matrix, etc.
14	<p>Are your waste emissions monitored and managed?</p> <p>1) We do not monitor our waste emissions. 2) We monitor and manage our waste emissions.</p> <p>14-1 Please indicate your total amount of waste produced in the year before the last year in tons. 14-2 Please indicate your total amount of waste produced in the last year in tons.</p>		Waste (general, recycling) discharge records, etc.
15	<p>Have you violated any environmental regulations recently?</p> <p>1) We had at least one case of court conviction for environmental regulation violation in the past three years. 2) We had no case of court convictions for environmental regulation violations in the past three years.</p>		N/A

IV. Corporate Ethics and Stakeholder Communication

This section addresses the relationship between sustainable growth and business ethics, and competitiveness enhancement through stakeholder communication.

No.	Question	Answer <i>Multiple-choice: Provide your choice Open-ended: Provide your answer</i>	Attachment required
16	<p>Do you have anti-corruption policies* and training/monitoring programs running in place? (*For example: Employee Code of Ethics, Code of Conduct, etc.)</p> <p>1) We have no policies and training programs for anti-corruption 2) We have an anti-corruption training/monitoring program but no anti-corruption policies in place. 3) We have anti-corruption policies in place but not an education/monitoring program. 4) We have both anti-corruption policies and education/monitoring programs in place.</p>		Code of Ethics, Ethical Management Practice Guidelines, Special Terms and Conditions for Ethics Practice, Ethics Charter, Ethics Education (Plan, Reports, Training histories, etc.)
17	<p>Are you engaged in any social contribution activities?</p> <p>1) We do not have any social contribution activities engaged. 2) We are engaged in social contribution activities such as employee volunteer activities or donations to local communities.</p>		Social contribution activity plan, proof of implementation, etc.
18	<p>Do you regularly conduct customer satisfaction surveys?</p> <p>1) We do not conduct customer satisfaction surveys addressing products, services, and the company, etc. 2) We regularly conduct customer satisfaction surveys addressing products, services, and the company, etc.</p>		Customer satisfaction survey questionnaires and survey report, etc.
19	<p>Have you violated any regulations on customers and subcontractors recently? (Make 2 selections)</p> <p>1) We have at least one case of court conviction for violating a regulation on customers and subcontractors in the past three years. 2) We have no case of court convictions for violating a regulation on customers and subcontractors in the past three years. 3) We have at least one case of non-fulfillment of payment to subcontractors in the last three years. 4) We have had no case of non-fulfillment of payment to subcontractors in the last three years.</p>		N/A
20	<p>Do you have policies and training programs in place for customer privacy?</p> <p>1) We have no policies and training programs for customer privacy protection. 2) We have customer privacy policies in place but not training programs. 3) We have employee training programs for customer privacy in place but not relevant policies. 4) We have both customer privacy policies and employee training programs in place.</p>		Policy data such as customer information protection guidelines, customer information protection education (plan, reports, training histories, etc.)

— Thank you for your reply. We wish all the best to your company. —