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| **HSE AND SUSTAINABILITY QUESTIONNAIRES**   |
| **NO.** | **QUESTIONNAIRES** | **Please mark √** | **Response/Remarks** | **SCORE****(For SINOPEC LUBRICNAT use only)** |
| **Yes** | **No** |
| **INSTRUCTION TO BIDDERS:****Bidder shall complete the questionnaire and provide the relevant evidence as and when required** | **COMPANY NAME :**  |
|  | **SECTION A (ITEM # 1 - 8) - HSE REQUIREMENT (70%)** |  |  |  | **SCORING (1 POINT EACH)** |
| **1** | **MANAGEMENT SYSTEM & CERTIFICATION** |  |  |  |  |
| 1.1 | Does your company have an established HSE Management System ? |  |  |  |  |
| 1.2 | Has your company achieved Third Party Certification of its HSE Management Systems? If yes, pleaseprovide a copy of certification. |  |  |  |  |
| 1.3 | Does your company have a manual describing your HSE Management Systems? Please provide a copy of theContent page of your HSE Manual. |  |  |  |  |
| 1.4 | Please provide details of any significant HSE achievements, awards or certification? |  |  |  |  |
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| **2** | **MANAGEMENT COMMITMENT AND RESPONSIBILITY** |  |  |  |  |
| 2.1 | Does your Company have written HSE policy statement? Please attach a copy of the policy.` |  |  |  |  |
|  |
| **3** | **ORGANIZATION, RESPONSIBILITIES, RESOURCES AND DOCUMENTATION** |  |  |  |  |
| 3.1 | Is HSE committee established? If yes, please provide the Organization Chart |  |  |  |  |
| 3.2 | Is HSE committee meeting been conducted regularly ? If yes, how often it is conducted and please providethe supporting document(s) e.g latest Minutes of Meeting |  |  |  |  |
| 3.3 | How does your company provide HSE specialized training for HSE staff? |  |  |   |  |
| 3.4 | Do you have written HSE Procedures/Instructions?(If YES, please attach a list) |  |  |  |  |
|  |
| **4** | **RISKS, HAZARDS AND EFFECT MANAGEMENT** |  |  |  |  |
| 4.1 | Does your company have structured process to identify and assess a hazard? |  |  |  |  |
| 4.2 | How do you control the hazard and recover from its release? |  |  |  |  |
| 4.3 | Are employee provided with the required Personal Protective Equipment (PPE) for the job performed? |  |  |   |  |
| 4.4 | Do you have system to manage waste and impact to the environment? |  |  |  |  |
| 4.5 | Does your company have a process for identifying and communicating legal and other HSE requirements toensure compliance? If yes, please provide evidence |  |  |  |  |
|  |
| **5** | **CONTROL AND PLANNING PRODUCT** |  |  |  |  |
| 5.1 | Where do you spell out the company standards you require to be met and verified? |  |  |  |  |
| 5.2 | Is customer feedback/complaints and satisfaction measured, improved and effectively communicated to respective personnel? Is this reported to the management? Please justify. |  |  |  |  |
| 5.3 | Is non-conforming product/work identified, documented and disposition? |  |  |  |  |

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|  |
| **6** | **CONTIGENCY AND EMERGENCY PLANNING** |  |  |  |  |
| 6.1 | Is Emergency Response Preparedness (ERP) established, communicated and implemented? |  |  |  |  |
| 6.2 | Do you conduct emergency drill on regular basis? Is authorities involved in the emergency drills? |  |  |  |  |
| 6.3 | What type of emergency included? |  |  |  |  |
| 6.4 | Have you received any regulatory citations or been involved in any court litigation related to HSE incidentsor non-compliance in the last three (3) years? |  |  |  |  |
|  |
| **7** | **INCIDENT REPORTING AND INVESTIGATION** |  |  |  |  |
| 7.1 | Is there a procedure for the reporting, investigation, follow-up and close-out of incidents? |  |  |  |  |
| 7.2 | Does your company share the lessons learned on incidents and near misses to allemployees/subcontractor? How? |  |  |  |  |
| 7.3 | What type of incidents are investigated? |  |  |  |  |
| 7.4 | Please provide details of your company's annual safety records for the last 5 years. (please refer to sheetnamed '**Attachment 1**' |  |  |  |  |
|  |
| **8** | **ENVIRONMENT** |  |
| 8.1 | Does your company have a formalized environmental policy? |  |  |  |  |
| 8.2 | What actions are in place regarding the reduction of energy consumption and the emissions of GHG? |  |  |  |  |
| 8.3 | What actions are in place regarding waste management? |  |  |  |  |
| 8.4 | Has your company obtained any environmental management system certification? |  |  |  |  |
| 8.5 | Is your company producing the product in compliance with all environmental laws and regulations? |  |  |  |  |
| 8.6 | What is the company's record in handling environmental issues (within the past 5 years)? |  |  |  |  |
|  | **SCORE (POINT)** |  |  |  | **0** |
|  | **SCORE (%)** |  |  |  | **0%** |

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|  |  |  |  |  |  |
|  | **SECTION B (ITEM # 9-12)- SUSTAINABILITY REQUIREMENT (30%)** |  |  |  |  |
| **9** | **LABOR AND HUMAN RIGHTS** |  |  |  |  |
|  | Does your company have a policy regarding labor practices or human rights issues ? |  |  |  |  |
| a) Employees health and safety ( e.g. management of employees health and safety issues) |  |  |  |  |
| b) Working Conditions ( e.g. wages & working benefits, working hours, exchange of information andparticipations on working conditions) |  |  |  |  |
| c) Labor Relations ( e.g. structured relations with employee representatives / trade unions) |  |  |  |  |
| d) Career Management ( e.g. management of recruitment, training & career development) |  |  |  |  |
| e) Child and Forced Labor ( e.g. engagements or measures taken to prevent or eradicate child or forcedlabor) |  |  |  |  |
| f) Diversity, Discrimination & Harassment |  |  |  |  |
| 9.2 | What actions are in place regarding employee health and safety? |  |  |  |  |
| 9.3 | What actions are in place regarding working conditions? |  |  |  |  |
| 9.4 | What actions are in place regarding social dialogue? |  |  |  |  |
| 9.5 | What actions are in place regarding training and career management? |  |  |  |  |
| 9.6 | What actions are in place to prevent discrimination and harassment?  |  |  |  |  |
| 9.7 | Do workers have the right to join labor unions, workers’ councils, or other collective bargainingorganizations? |  |  |  |  |
|  |
| **10** | **CSR** |  |
| 10.1 | Does your company formally and publicly adhere to any external CSR initiatives or sets of principles? |  |  |  |  |
| 10.2 | Does your company engage in voluntary environmental initiatives? |  |  |  |  |
| 10.3 | Does your company communicate progress towards the Sustainable Development Goals (SDGs)? |  |  |  |  |
| 10.4 | Has your company been audited on-site with regards to CSR issues (e.g Environment, Labor Practices &Human Rights, Business Ethics), on at least 1 of your company's locations? |  |  |  |  |
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| **11** | **SUSTAINABLE PROCUREMENT** |  |
| 11.1 | Does your company have a formal policy on sustainable procurement? |  |  |  |  |
| 11.2 | What actions are in place regarding the integration of social or environmental factors within procurement? |  |  |  |  |
| 11.3 | Please indicate any CSR-related external recognition obtained by your company within the last five years,such as CSR-related awards, or listing in CSR rankings or indexes. ? |  |  |  |  |

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|  |
| **12** | **ETHICS** |  |  |
| 12.1 | Has your company implemented a formal policy covering any of the following topics? (Corruption & bribery, Conflict of Interest, Fraud,Money laundering, Anti-competitive practices or information security. |  |  |  |  |
| 12.2 | What actions are in place to prevent corruption and bribery? |  |  |  |  |
| 12.3 | What actions are in place regarding information security? |  |  |  |  |
| 12.4 | Has your company obtained external certifications related to business ethics issues (e.g. anti-corruption,information security)? |  |  |  |  |
| 12.5 | Please indicate any CSR-related external recognition obtained by your company within the last five years,such as CSR-related awards, or listing in CSR rankings or indexes. ? |  |  |  |  |
|  | **SCORE (POINT)** |  |  |  | **0** |
|  | **SCORE (%)** |  |  |  | **0%** |
|  | **OVERALL SCORE (SECTION A + B) (%)** |  |  |  | **0%** |
|  |
| **Pre-Qualification Assessment ( for SINOPEC LUBRICANT Use Only)** |
| **Total Scoring (Assessment Rating):** | **Compliance to HSE & Sustainability requirement** |  |
|  | **< 50: Not Acceptable.** | * ***Green (G) - >70% Bidder Comply***
 |
|  | **50-70%: Satisfactory** | * ***Yellow (Y) - 50 - 70% Bidder comply with minor area of concern***
 |
|  | **>70% : Good** | * ***Red (R) - <50% Bidder Does not comply***
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