

Shilpa Pharma Lifesciences Limited

Rajchur, Karnataka, India

Supplier Environment & Social Assessment Report (Ref: Assessment Report Number: SPL/SUP/2324/01, Date: 06.10.2023)

Supplier Name & Address: CONFIDENTIAL




Ref No	Elements	Requirements	Findings	Priority	Opportunities for Improvement	Planned CAPAs	Assigned To	Target Date	Attachments/Reference Documents	Status of Review by SKPI
1.1	Management System - General	Has your facility been audited on-site by a third party auditor with regard to Occupational Health & Safety issues during last three years?	The company representative has informed that no such audit has been conducted.	Minor	R1: Consider conducting periodical internal and external (third party) safety audits of the site to check the effectiveness of occupational health and safety practices implemented at the site and periodically monitor the status of implementation of the corrective actions.	Procedure for conducting periodical internal audits to check for EHS compliance is in place and internal audits are being conducted as per the schedule. The identified audit findings were discussed with relevant functional incharges and necessary CAPAs recommended. CAPA implementation is being monitored and the internal audit report is closed after effective implementation of CAPA	NA	NA	Internal audit report and CAPA enclosed	Closed
2.5	Management System Commitment	Does the facility have a policy endorsed by the top management pertaining to sustainable procurement?	EHS Policy available.	Minor	R2: Consider establishing and implementing relevant policy and processes for Sustainable Procurement.	Procedure for Sustainable procurement is implemented and all the employees were trained on the procedure	NA	NA	NA	Closed
3.1	Management System Commitment	Does the facility have any occupational health & safety related management system implemented, certified or received any award?	Company is certified for ISO 14001:2015.	Minor	R3: Consider certification for the occupational health & safety management system by external accredited certification body.	The process for getting accreditations about health & safety management system by authorized external certification body is in progress.	NA	NA	NA	Closed
3.3	Management System Commitment	Does the facility have any occupational labor & human rights related management system implemented, certified or received any award?	Company is certified for ISO 14001:2015.	Minor	R4: Consider certification for the labour & human rights management system by external accredited certification body.	The process for getting accreditations about labour & human rights management system by authorized external certification body is in progress.	NA	NA	NA	Closed
6.0	Management System Compliance	Does your facility evaluate compliance with occupational health & safety, environment, labor, human rights, ethics and sustainable procurement issues on an on-going basis?	The company representative has informed that they are currently not evaluating compliance w.r.t occupational health & safety, environment, labor, human rights, ethics and sustainable procurement.	Major	R5: Consider periodic evaluation of compliance for occupational health & safety, environment, labor, human rights, ethics and sustainable procurement for ensuring ongoing compliance and improvement.	The procedure for periodic evaluation of compliance for occupational health & safety, environment, labor, human rights, ethics and sustainable procurement for ensuring ongoing compliance and improvement is in place. All employees are trained on the procedure.	NA	NA	NA	Closed
8.0	Management System Compliance	Does the facility have the required environmental permits or authorizations?	The company representative has informed that environmental permits/authorizations are in place.	Minor	R6: Consider sharing copy of the environmental permits/authorizations for review.	Yes, copies of the environmental permits/authorizations shared	NA	NA	Environmental permits/authorizations	Closed
9.0	Management System Compliance	Does the facility have an authorization/permit for water intake from groundwater, river or a public system?	The company representative has informed that permit for water intake is available.	Minor	R7: Consider sharing copy of the authorization/permit for water intake for review.	Yes, copies of the authorization/permit for water intake shared	NA	NA	Authorization/permit for water intake	Closed
10.0	Management System - Risk Management	Has your facility identified potential risks within own organization/facility and in supply chain with regards to occupational health & safety, environment, labor, human rights, ethics and sustainable procurement regulation?	The company representative has informed that this is currently not in place.	Major	R8: Consider establishing and implementing the risk assessment processes for occupational health & safety, environment, labor, human rights, ethics and sustainable procurement for the site to identify, assess and control related risks systematically.	Risk assessment procedure is prepared and implemented and this procedure is applicable for occupational health & safety, environment, labor, human rights, ethics and sustainable procurement for the site to identify, assess and control related risks systematically. All employees are trained on the procedure.	NA	NA	NA	Closed

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12.2	Management System - Risk Management	Is there a formal process in place for assessing the business risks for the facility routinely for occupational health & safety, environment, labor, human rights, ethics and sustainable procurement? Do the assessments include identified risks in the supply chain - first tier	The company representative has informed that this is currently not in place.	Minor	R9: Consider carrying out first tier supply chain risk assessment.	Yes, first tier supply chain risk assessment will be carried-out and the recommended mitigation strategies will be implemented	NA	NA	NA	Closed
15.0	Management System - Risk Management	Does the facility have a process to manage all HSE critical changes (e.g. raw materials, processes, equipment, personnel, facilities, etc.) for the following areas?	The company representative has informed that this is currently part of quality change control procedure.	Minor	R10: Consider establishing the "management of change for EHS checklist" for reviewing and managing EHS aspects of proposed changes.	The checklist on Management of change for EHS requirements is implemented as part of change control management program and all employees are trained on the implementation of checklist while executing/implementing change	NA	NA	NA	Closed
21.0	Management System - Continual Improvement	At what frequency is the effectiveness of occupational health & safety, environment, labor, human rights, ethics and sustainable procurement practices assessed through periodic internal audits and management reviews?	The company representative has informed that monthly review is in place.	Minor	R11: Consider sharing copies of the latest internal audit findings and minutes of management review meetings for information.	Yes, copies of the latest internal audit findings and minutes of management review meetings shared	NA	NA	Latest internal audit report and minutes of MRM	Closed
22.1	Labor & Human Rights	Does the facility have policy(ies) or statement of commitment and relevant procedures regarding prohibition of child labor/forced labour?	The company representative has informed that policy is not available but age verification is done.	Minor	R12: Consider establishing and implementing relevant policy and processes for Labour & Human Rights.	Labour & Human Rights policy is established and implemented. All employees are trained and aware of the requirements of the policy	NA	NA	NA	Closed
23.3	Labor & Human Rights	Do policies of the facility align with relevant local legislation and/or ILO guideline?	The company representative has informed that this is currently not in place.	Minor	R13: Consider aligning labour & human rights policies with relevant local legislation and/or government ratified ILO guidelines.	Labour & Human rights policy is prepared inline with relevant local legislation and/or government ratified ILO guidelines.	NA	NA	NA	Closed
24.1	Business Ethics	Does the facility have formal Policies or Codes of Conduct and relevant procedures that govern ethical business practices? If yes, please indicate if business integrity and fair competition are included there.	The company representative has informed that this is currently not in place.	Minor	R14: Consider establishing and implementing relevant policy and processes for Business Ethics.	Business Ethics policy is established and implemented. All employees are trained and aware of the requirements of the policy	NA	NA	NA	Closed
26.5	Occupational Health & Safety	Does the facility have documented written safe operating procedures for emergency preparedness and response?	The company representative has informed that this is currently not in place.	Major	R15: Consider conducting scenario based periodic emergency drills in all shifts for effective emergency preparedness and response.	Periodic emergency drills are conducting in all shifts for effective emergency preparedness and response. The outcome of the drills is reported along with photographs	NA	NA	NA	Closed

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27.0	Occupational Health & Safety	Does the facility have provided adequate fire safety systems like fire hydrant, fire alarm, fire suppression, etc.?	The company representative has informed that fire safety precautions are in place.	Major	R16: Consider conducting fire safety adequacy study for the site.	Fire safety adequacy study is completed and details shared	NA	NA	Fire safety adequacy study report	Closed
28.0	Occupational Health & Safety	Does the facility have documented OH&S objectives, targets and metrics?	The company representative has informed that this is currently not in place.	Minor	R17: Consider setting occupational health and safety (including process safety) objectives and targets.	The concept of setting occupational health and safety (including process safety) goals & objectives for every financial year and monitoring its progress at regular intervals is implemented	NA	NA	NA	Closed
29.2	Occupational Health & Safety	Indicate the number of OH&S incidents that occurred at this facility over the past three years.	The company representative has reported that occupational injuries are reported.	Minor	R18: Consider reporting unsafe practices and near misses for strengthening accident prevention practices.	Procedure for reporting unsafe acts and near misses is implemented and all the employees are trained to follow the practice of reporting unsafe acts and near misses regularly there by to prevent occurrence of accidents	NA	NA	NA	Closed
31.0	Environmental Sustainability	Does the facility have documented environmental objectives and metrics?	The company representative has informed that this is currently not in place.	Minor	R19: Consider setting environmental objectives and targets.	The concept of setting Environmental sustainability goals & objectives for every financial year and monitoring its progress at regular intervals is implemented	NA	NA	NA	Closed
34.0	Environmental Sustainability	Does the facility have provided adequate storage facilities for Hazardous and Non-Hazardous wastes as per the prescribed norms?	The company representative has informed that this is in place.	Minor	R20: Consider sharing photographs of existing Hazardous and Non-Hazardous wastes storage facilities.	Yes, photographs of photographs of existing Hazardous and Non-Hazardous wastes storage facilities shared for your reference	NA	NA	Photos of existing Hazardous and Non-Hazardous wastes storage facilities	Closed
35.1	Environmental Sustainability	Does the facility have taken reduction program for water consumption?	The company representative has informed that this is currently not in place.	Minor	R21: Consider setting water consumption reduction target.	Water consumption reduction is considered in Environment sustainability Goals & Objectives. The set goals were being monitored to know the status	NA	NA	NA	Closed
35.2	Environmental Sustainability	Does the facility have taken reduction program for energy consumption?	The company representative has informed that this is currently not in place.	Major	R22: Consider setting energy consumption reduction target.	Energy consumption reduction is considered in Environment sustainability Goals & Objectives. The set goals were being monitored to know the status	NA	NA	NA	Closed
35.3	Environmental Sustainability	Does the facility have taken reduction program for greenhouse gas emissions?	The company representative has informed that this is currently not in place.	Major	R23: Consider setting GHG emission reduction target.	GHG emission reduction is considered in Environment sustainability Goals & Objectives. The set goals were being monitored to know the status	NA	NA	NA	Closed
35.4	Environmental Sustainability	Does the facility have taken reduction program for hazardous waste?	The company representative has informed that this is currently not in place.	Minor	R24: Consider setting hazardous waste reduction target.	Environment sustainability goals were set with a target to reduce generation of hazardous waste. The set goals were being monitored to know the status	NA	NA	NA	Closed
35.5	Environmental Sustainability	Does the facility have taken reduction program for non-Hazardous waste?	The company representative has informed that this is currently not in place.	Minor	R25: Consider setting non-hazardous waste reduction target.	Environment sustainability goals were set with a target to reduce generation of non-hazardous waste. The set goals were being monitored to know the status	NA	NA	NA	Closed

It is not possible in an audit, with a limited time frame, to identify every area requiring attention. It is the responsibility of the audited party to establish, implement and maintain effective systems and procedures that comply with the regulatory and other business related compliance requirements.

Critical Findings: Are very high risk findings that require immediate action to protect human life, the health of employees or the environment; May result in loss of license to operate or serious damage to reputation; Require immediate corrective action by the supplier. Need to be communicated to the audit sponsor prior to audit report finalization.

	Name of Assessor: VIJAY KUMAR N Department: EHS Signature:  Date: 16/10/23	Name of Assessor: ARVIND KUMAR SINGH Department: HR Signature:  Date: 16/10/23	Name of Assessor: RAGHAVENDRA KUMAR Department: SCM Signature:  Date: 16/10/23
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