



Shin-Etsu Group CSR Procurement Guidelines

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Shin-Etsu Chemical Co., Ltd.

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Introduction

We appreciate the daily cooperation of our business partners.

In recent years, as you are aware, the global society has been witnessing greater interest in “Corporate Social Responsibility (CSR)”. It is argued, in the face of cross border stretch of corporate supply chains in line with globalized business activities, how to construct good relations between corporates and their stakeholders. Under such circumstances, social and market requirements towards corporate business operations have been expanding to include activities of related supply chains, let alone those of its own.

As a corporate group trusted by society, Shin-Etsu Group in all of our group activities always sets safety and the environment our utmost priority. We are also focusing on contributing to the conservation of the global environment through our key materials products and technologies. In addition, Shin-Etsu Group supports and participates in the United Nations Global Compact and proactively engage ourselves in CSR activities.

We have summarized the Guidelines to **share the understanding and promote activities with our supply chains entirely**, which seems effective, even in our procurement, to construct a sustainable society. The Guidelines aim to **promote CSR activities together with our business partners** by further promoting activities to their upstream suppliers, as well as to let our business partners know and understand Shin-Etsu Group’s CSR activities. We would update the Guidelines, on a timely manner, to reflect the requirements of international society that change as time flows.

Shin-Etsu Chemical Co., Ltd.

Purchasing and Procurement Department

Shin-Etsu Group's CSR

As life in society has become more complex and more diverse in recent years, the social responsibilities of corporates have grown. In order to achieve our corporate mission statement **“to strictly comply with all laws and regulation, conduct fair business practices and contribute to people's daily lives as well as to the advance of industry and society by providing key materials and technologies”**, we have been engaged with a number of activities. Legal compliance and fair business practices as the basis of all the activities, we have, within the Group, repeatedly conducted studies concerning the most effective ways to fulfil our corporate social responsibilities and we have officially decided to once again clearly specify these important issues as our Key CSR Issues. The Group has set a goal to “contribute to the future of the Earth” by meeting the social needs, contributing to the problem solution with technologies and products and accomplishing social responsibilities, while working on these key CSR issues.

Shin-Etsu Group's Key CSR Issues



Shin-Etsu Group's Procurement

Since its foundation, Shin-Etsu Group has contributed to quality enhancement, lighter / smaller goods and cost reduction in many industrial fields, through material development and stable supply of products. In order for Shin-Etsu Group to further contribute to people's lives and society as a world leading material manufacturer, we think it important for our business partners to **stably supply superior quality products with fair price**. We always take into consideration safety and environmental protection, reduced resource use and energy saving, at the same time, and make a point of doing **fair and just procurement, complying with laws and regulations regarding reduced resource use and energy saving**. Shin-Etsu Group in its purchase and procurement activities endeavors to carry out fair and objective business activities by widely disseminating information about the following principles of its basic procurement policy throughout the Group and among its business partners.

Shin-Etsu Group's Procurement Policy

1. Compliance with Laws and Regulations

Shin-Etsu Group has elected compliance with laws and regulations as the most important of its management objectives and conducts its corporate activities making each and every staff member fully aware of corporate social responsibilities and they carry out their business activities in strict conformity with the law, business ethics and the various rules and regulations of the Company. In its purchase and procurement activities, the Group acts in good faith and in a fair manner, and does not practice favoritism, nor make improper demands. In addition, based on mutual trust, not only between the Group and the business partners that the Group directly procures from, but also with vendors in the linked supply chain, all those companies involved carry out their business activities in strict accordance with the principal labor standards of International Labor Organization (ILO), any laws and regulations related to protection of the environment and rules and regulations concerning business transactions, including those of small- and medium-size enterprises (SMEs).

2. Promotion of corporate social responsibility

The Company places primary importance on corporate social responsibility (CSR) activities and strongly emphasizes compliance management. For the promotion of CSR, the cooperation of all the Company's suppliers is essential, and we ask you to comply with the Company's CSR policies in the areas listed below. At the same time, we will strive to maintain mutual trust and close, friendly relationships.

- (1) Strive to strengthen and promote conformance with social norms, business ethics and laws.
- (2) Place first priority on assuring safety, protection against disasters and effective environmental management(i.e. REACH regulation, ISO 14001 standard, etc.), cooperate

in "Green" environmentally friendly purchasing and procurement activities, and at the same time, each person should have a clear consciousness of the importance of these issues.

- (3) Strive for accurate and impartial disclosure of information and assuring the delivery of safe and reliable products and taking speedy measures to deal with various contingencies
- (4) Foster respect for human rights and follow non-discriminatory policies based on religion, gender, or race.
- (5) Act in conformity with the labor standards of the ILO by prohibiting forced labor and child labor and following the general principles of labor conditions such as equal compensation for equal work and not engaging in unfair labor practices.
- (6) Protect against the disclosure of classified information, personal confidentiality and respect intellectual property rights.
- (7) Biodiversity preservation.
- (8) Avoid the use of conflict minerals that directly or indirectly finance or benefit armed groups in the Democratic Republic of the Congo or adjoining countries.

3. Selection of vendors

The Company follows an open-door policy regarding its transactions and globally seeks suppliers based on open, fair, impartial and equal-opportunity principles, both within the Company and with outside suppliers, comprehensively taking into consideration of the following

1. Globally competitive in product quality, price, delivery time and supply stability
2. Objective standards such as suppliers' management stability, reliability and technological abilities.

Based on these rational considerations, the Company selects suppliers.

4. Meeting the needs of the suppliers, conducting performance reviews

The Company provides suppliers with the essential information necessary for transactions and also cooperates with suppliers' VA and VE improvement activities as well as in activities related to the maintenance and improvement of product quality. The Company also routinely or as necessary promotes evaluation and review of suppliers' performance in areas that reflect on the Company's basic procurement policy and "Green" procurement standards.

For Our Business Partners

- From Shin-Etsu Group -

Below are the items of CSR procurement promotion, with which Shin-Etsu Group complies and, at the same time, the Group asks its business partners to comply with. We expect our business partners to use this to deepen the understanding of Shin-Etsu Group, together with the Shin-Etsu Group's Basic Procurement Policy.

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0. Respect for Human Rights

0-1. Non-Discrimination

- ◆ Discrimination in recruiting and hiring is to be eliminated and an endeavor is to be made to realize equal opportunities and fairness.

* Discrimination consists of differentiating individuals in the occasions of employment, promotion, remuneration and opportunities to have training.

Examples of Classes Prone to Discrimination

age, gender, race, credo, religion, social status, nationality, ethnic group, pregnancy, marital status, political affiliation, sexual orientation, gender identity and expression, mental disability, union membership, covered veteran status, HIV/hepatitis infection, genetic information

- ◆ Employees or applicants are not to be subject to a medical test which could be used for discriminatory purposes.
- ◆ Reasonable accommodation for workers' religious practices is provided.

0-2. Freely Chosen Employment

- ◆ Any type of forced labor is not to be used.

Forced Labor: All kinds of labor that are NOT based on free will, including;	
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1	Bonded or indentured labor that results in restrictions on freedom of resignation
2	Forced labor as a result of trafficking of persons
3	Inhumane prison labor in a harsh work environment
4	Requiring workers to pay excessive recruitment fees or other related fees for their employment.
5	Denial of workers' right to freely terminate their employment
6	Provision of workers with an employment agreement containing a description of terms and conditions of employment which is not in their native language.
7	Employers' holding employees' identity documents, such as government-issued identification, passports or work permits
8	Imposition of unreasonable restrictions on workers' freedom of entering or exiting their workplaces and dormitories

* Related Law : UK Modern Slavery Act 2015

0-3. Humane Treatment

- ◆ Workers' human rights are to be respected. Harsh and inhumane treatment including various types of harassment which impair individuals' dignity, abuse and discrimination based on gender is to be prohibited.

0-4. Freedom of Association

- ◆ Workers' rights to freedom of association are respected.

- * This mentions the freedom of association with which workers organize and run a body that enables them to have negotiations with the management personnel over their work environment, conditions and wages.

0-5. Prevention of Child Labor and Protection of Young Workers

- ◆ Child labor is not to be used. (See below)
- ◆ Young workers shall be protected in accordance with laws and regulations in each country/region. (See below)

Article	Age	Requirements
Prevention of Child Labor	<ul style="list-style-type: none"> • Under the age of 15 • Under the minimum age for employment in the relevant country/region • Age to terminate the compulsory education in the relevant country/region 	Persons less than the highest age of these three (left) shall not be employed.
Protection of Young Workers	Those who are less than 18 years old and not “children”	Protection shall be provided in accordance with law (they shall not be engaged with dangerous or left-over work.)

0-6. Working Hours

- ◆ The number of working days in a year is not to exceed the limit mandated by laws and regulation in the relevant country/region.
- ◆ Hours worked in a workweek, including overtime, do not exceed the legal limit (except in emergency and unusual situations).
- ◆ Workers receive at least one day off every seven days.
- ◆ Workers are allowed paid annual leave mandated by laws and regulations in the relevant country/region.

0-7. Worker Health and Safety

- ◆ Safe and sanitary facilities (dormitories, canteens, toilets etc.) are to be provided to workers for their daily lives.

Examples of Facilities Provided to Workers	
1	Toilet facilities, drinking fountains, canteens provided at their workplaces
2	Dormitories and canteens provided outside their workplaces
Examples of Health and Safety	
1	Clean and sanitary facility/dormitory
2	Adequate fire measures, ventilation, temperature management and evacuation point prepared in facility/dormitory
3	Clean eating facilities where food prepared and stored in a sanitary environment is provided.
4	Provision of safe potable water
5	Dormitory with reasonable personal space
6	Hot water for bathing and showering
7	Individual lockers for private secured storage

- ◆ Hazards of worker exposure to biological/chemical agents, **high noise and odors** harmful to human beings in the work place are to be identified and evaluated and appropriate controls are to be taken to cope with them.
 - * Harmful chemical substances to human bodies are as follows; smoke, vapor, mist, dust, toxic substances, radiation, substances triggering chronic disease (lead, asbestos). Noise and odor also apply when considerable.
- ◆ Worker exposure to the hazards of **physically demanding tasks** is to be identified, evaluated and controlled.
 - * Physically demanding tasks include manual material handling, prolonged standing tasks and highly repetitive assembly tasks.
- ◆ Appropriate medical examinations are to be provided for all workers.
 - * For workers' health, medical checks shall be done as the laws and regulation of each country/region stipulate.

0-8. Wages and Benefits

- ◆ Compensation paid to workers is to be complied with applicable wage laws, including those relating to minimum wages.
- ◆ Laws and regulations related to benefits in the relevant country/region are to be complied with.
- ◆ Wages are not deducted or reduced for inappropriate reasons.
 - * "Inappropriate deduction of wages" means deduction of wages that are not in conformity with labor related laws and regulations in the relevant country/region.
- ◆ Workers are provided with an accurate and understandable wage statement.
- ◆ Wages are to be paid periodically at least once a month on a set day without delay.

1. Compliance with Laws & Regulations

1-1. Prohibition of Abusive Use of Superior Positions

- ◆ Laws and regulations applied in each country/region, regarding the prohibition of abusive use of superior positions, shall be abided by.
- ◆ Based on contracts, business partners shall do fair and just business with integrity. They are requested **not to impose any unreasonable demands and duties** on their suppliers, using the position as buyers and clients, such as one-sided decision of business conditions with them.
- ◆ Business partners are requested to **refrain from practices that create disadvantage for their own suppliers.**

Examples of abusive use of superior positions	
1	Refusal of goods reception from suppliers
2	Returning received goods to suppliers
3	Delaying payment of contract amount
4	Discounting payment of contract amount

- ◆ Business partners are requested not to ask their suppliers and logistics companies to **dispatch staffs and pay compensation** for cooperation.

1-2. Prohibition of Insider Trading

- ◆ Business partners are requested not to do any **insider trading** in which, based on undisclosed important information on clients' business, business partners buy/sell shares of those clients.

1-3. Anti-corruption and Bribery

- ◆ Business partners are requested not to receive or provide any arrangements, gifts and money with public servants, clients and suppliers, aiming to obtain and/or maintain undue interests and favoured treatment.

1-4. Compliance with Competition Law

- ◆ Business partners are requested to comply with the laws and regulations applied in each country/region regarding business competition. They are also requested to take measures to prevent cartels, such as consultation/limitation on price among competitors, market division, limited production, and prearranged bidding, from happening.

1-5. Prevention of Unfair Competition

- ◆ Business partners are requested not to illegally obtain, use and disclose business secrets of other companies, in the purpose of obtaining illegal interests and/or damaging the owner of the secrets. Confidentiality clauses shall be abided by.
- ◆ Business partners shall not make confusions by using the identical or resembling expression with that of well-known products of other companies, such as name, corporate name, trademark and other expressions.
- ◆ Business partners are requested not to transfer, loan, exhibit, export and import products that are the imitation of goods made by other companies (less than three years since initially sold).
- ◆ Business partners shall prevent own technologies and know-hows leaks in the form of documents and electric media. Confidentiality contract shall be concluded with suppliers.

1-6. Breaking off all Contact with Antisocial Forces

- ◆ Business partners are requested neither to have any relations with, including the one on business, nor to finance antisocial forces that negatively affect social order and healthy business activities.

1-7. Compliance with Import/Export Laws and Regulations

- ◆ Business partners are requested, in regard to exporting technologies and goods subject to legal restrictions, to create a clear control program to make exporting procedures in an appropriate manner.

2. Promotion of Social Responsibility

2-1. Fair Business

- ◆ In order to attain social responsibility and continue business, business partners are requested to manage their business in healthy and fair manner and to **disclose appropriate information in a timely manner**.

* Information regarding labor, health and safety, environmental practices, business activities, financial situation and performance is to be disclosed in accordance with applicable laws and regulations and prevailing industry practices. Reporting errors, falsification of records or misrepresentation is unacceptable.

2-2. Workplace Safety

- ◆ Business partners are requested to evaluate risks on **occupational safety** and assure safety through appropriate designing, technology and management.

Examples of Potential Occupational Risks	Examples of Safety Measures
electricity and other energy, fire, vehicles, slippery/tripping floors, danger to fall, etc.	<ul style="list-style-type: none"> • lockout/tagout the machine when out of use • provide personal protective equipment, such as protective glasses, safety helmets, gloves, etc. • put safety labels in front of dangerous zones • provide workers with education on safety

- ◆ Business partners shall take **safety measures for production facilities and machines** used.
 - * Appropriate maintenance shall be done, through means such as safety devices, fail safes, fool proofs, interlocks and protective walls, etc., in the face of possible danger existence in which workers get injured with facility machines.
- ◆ Business partners shall understand the situation of **occupational accident and diseases**, and take appropriate measures.
 - * e.g. encouraging workers to report the situation, categorizing and recording the accidents/diseases, providing necessary medical treatment, surveying the accidents/diseases, taking corrective actions, encouraging workers to return to workforce, etc.
- ◆ Business partners are requested to assume emergency/possible emergency cases, and to **prepare emergency action plans with emergency manuals**.
 - * Emergency action plans can include the following: reporting of emergency case, notification to workers, clarification of evacuation method, emergency drills and setting of appropriate fire detectors and extinguishers, establishing evacuation facilities, preparing first-aid kits and recovery plans, etc.
- ◆ Business partners are requested to notify workers of correct handling method of chemical substances.

- ◆ Business partners are requested to **assure the safety in logistics process** of products and take appropriate measures in case of accident, as well as to reduce environmental impact in logistics.

2-3. Environmental Protection

- ◆ Business partners are requested to establish and operate **environment management system (EMS)**.
 - * EMS: a set of management structure to promote environment protection activities, based on PDCA cycle.
- ◆ Business partners shall **apply, register and report environmental permits** required in laws and regulations in each country/region, and **submit management report to the authority**.
- ◆ For **the prevention of climate change**, business partners are requested to set voluntary goals for GHG (greenhouse gas) reductions, make plans and surely execute them, aiming for continuous reduction of GHG.
 - * Among existing GHGs, CO₂, methane, dinitrogen monoxide, HFCs, PFCs, and Sulfur hexafluoride are designated in Kyoto Protocol.
- ◆ Business partners are requested to comply with the laws and regulations in each country/region regarding **air pollutants**, and to exhaust them after proper processing and management. The exhaust gas should be regularly monitored.
- ◆ **Wastes shall be appropriately categorized, stored, managed, transferred and processed**, in accordance with the laws and regulations in each country/region.
- ◆ **Waste water**, generated in the process of manufacturing and water discharge, **shall be discharged after proper processing and managing to meet the legal standards of water discharge**. The situation of waste water processing should be monitored daily.
- ◆ A systematic approach to prevent contaminated discharges and spills through storm drains from contaminating public water system such as sea, lakes, rivers etc. is to be implemented.
- ◆ Business partners are requested to promote **reduction of resource use, energy saving**, controlled amount of wastes generated, reuse, recycling (3Rs), for environmental protection and prevention of contamination.

2-4. Promotion of Green Purchase and Procurement

- ◆ Business partners are requested to procure environmentally-friendly goods and services.

Examples of green purchase and procurement	Purchase of environmentally-friendly office supplies, such as copy papers, uniforms and office utilities.
	Procurement of environmentally-friendly raw materials, sub-materials, parts and machines, used in factories.

- ◆ Complying with the laws and regulations in each country/region regarding restricted chemical substances, business partners are requested to reduce environmental impacts,

by taking environmental aspects into consideration from designing stage and promoting disuse of substances with high environmental impacts.

2-5. Safety and Reliability of Delivered Goods

- ◆ Business partners are requested to **precisely disclose the information of substances contained** in parts used in products.
- ◆ In designing products, business partners are requested to **secure sufficient product safety** and to sell them in consideration of product liability. Safety standards stipulated in laws and regulations in each country/region have to be met.
- ◆ **Quality assurance of products** includes traceability management, such as recording raw materials, parts and process, and prompt action towards problem solutions.
- ◆ Business partners are requested to comply with laws and regulations in each country/region regarding **the prohibition and/or restriction of chemical substances contained in products**, and to meet the customer requirements.

2-6. Intellectual Property

- ◆ Business partners are requested to take protective measures **against threats in PCs and online** (illegal access and virus), and to manage not to damage the concerned parties.
- ◆ Business partners are requested to **specify, appropriately manage and protect the confidential information**, such as management/business information and technological secrets.
- ◆ Business partners are requested to **appropriately manage and protect the personal information** of all those concerned in business, such as suppliers, customers, consumers and workers. Personal information shall not illegally and unduly be obtained, used, disclosed and leaked.

2-7. Intellectual Property

- ◆ Business partners shall respect intellectual property rights (patent rights, utility model rights, design rights, trademark rights, copyrights, trade secrets etc.) and shall not commit fraudulent procurement, unauthorized use or infringement of intellectual property rights of third parties.
- ◆ Business partners shall protect the intellectual property rights when transferring technologies/know-hows.

2-8. Protection of Whistleblowers and Non-Retaliation

- ◆ Programs that ensure the confidentiality, anonymity and protection of your business partners and their employee whistleblowers shall be maintained. Business partners shall have a communicated process for their own personnel as well as for their suppliers to be able to raise any concerns without fear of retaliation.

2-9. Responsible Sourcing of Minerals

- ◆ Business partners shall have a policy to reasonably assure that they will not procure Conflict Minerals (tantalum, tin, tungsten and gold included in the products they manufacture which directly or indirectly finance or benefit armed groups that are perpetrators of serious human rights abuses in the Democratic Republic of the Congo or an adjoining country), exercise due diligence on the source and chain of custody of these minerals and make their due diligence measures available to customers upon customer request.

* Related Regulation : Dodd-Frank Wall Street Reform and Consumer Protection Act.

2-10. Conservation of Natural Resources

- ◆ Business partners are requested to understand the negative impact of business activities on **biodiversity**, and to preserve it through reducing environmental impact.
- ◆ Setting voluntary goals on prevention of water pollution, water saving and recycling, business partners shall proactively develop activities for **water resource conservation**.
- ◆ In procurement of wood/wood-made products, paper and pulps, business partners shall consider the conservation of biodiversity, and make efforts to procure them from suppliers with **forest certification**.

Forest Certification: A set of schemes run by private sectors in which third party organizations certify the appropriate management of forests and categorize woods yielded from such forests. This enables consumers to select and purchase these woods.	
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PEFC	Programme for the Endorsement of Forest Certification Schemes
FSC	Forest Stewardship Council
SGEC	Sustainable Green Ecosystem Council

- ◆ In procurement of **palm oil**, business partners shall consider the conservation of biodiversity, and make efforts to procure certified and traceable one with consideration of sustainability.

Palm Oil Certification Schemes	
RSPO	Roundtable on Sustainable Palm Oil (given to products using certified oil)
Green Palm	Green Palm sustainability (given to products that purchase certificate, instead of using certified oil)

2-11. Community Involvement

- ◆ Business partners are expected to engage themselves with activities that contribute to the development of international/regional communities.

3. Management System

3-1. Assessment & Improvement of Business Activities

- ◆ Business partners shall establish management systems to promote business activities in the field of human rights, labor, occupational safety, environmental preservation, and business ethics which include specification of business risks and measures against them, checking and improvement systems of business activities.

Examples of management systems	
Human Rights & Labor	SA8000
Occupational Safety	OHSAS18001
Environment	ISO14001
Information Security	ISO27001
Natural Disasters and Accidents, Infectious Diseases, Dysfunction of Infrastructure & Internet Systems	Business Continuity Management (BCM)

3-2. Inner and Outer Communication & Information Disclosure

- ◆ Business partners shall establish **the process through which they communicate and disclose information** on CSR policy, implementation method, expectations and targets, **to stakeholders such as workers, suppliers and customers.**

3-3. Internal Training

- ◆ In order to understand their own CSR policies, to implement the targets and to obtain knowledge and skills to meet the requirement of laws and regulations in each country/region, business partners shall regularly hold in-house training for those in managerial positions and workers.

3-4. Audit and Corrective Action Process

- ◆ Regular **internal audit** shall be done to confirm the compliance with CSR-related laws and regulations in each country/region, articles in the guidelines and customer requests.
- ◆ The **corrective process shall be established** in which necessary correction is made, in a timely manner, for flaws and defects found as a result of internal/external CSR evaluation, checks, surveys and reviews.

3-5. Business Continuity

- ◆ Business Continuity Plan (BCP) shall be made, which, in the face of emergencies such as natural disasters, fires and terrorist attacks, would minimize the damage of business assets, enable core business operations' continuity and early recovery. Examples of BCP include diversified suppliers of raw materials used in your own factories, and diversified manufacture/assembly factories internally.

3-6. Supply Chain Management

- ◆ The contents of the Guidelines shall be made known internally and externally to obtain understanding.
- ◆ Business partners shall regularly evaluate their suppliers in terms of the implementation of requirements of the Guidelines.

REFERENCES

The following standards were used in preparing the Guidelines and may be a useful source of additional information.

Shin-Etsu Group's Philosophy and CSR Principles https://www.shinetsu.co.jp/en/csr/csr_management.html

United Nations Global Compact http://www.ungcn.org/aboutgc/glo_01.html

ILO Code of Practice in Safety and Health
<http://www.ilo.org/safework/info/standards-and-instruments/codes/lang--en/index.htm>

ILO International Labor Standards <http://www.ilo.org/global/standards/lang--en/index.htm>

UK Modern Slavery Act http://www.legislation.gov.uk/ukpga/2015/30/pdfs/ukpga_20150030_en.pdf

OECD Guidelines for Multinational Enterprises <http://www.oecd.org/corporate/mne/>

United Nations Convention Against Corruption <http://www.mofa.go.jp/policy/treaty/submit/session164/agree-8.pdf>

Universal Declaration of Human Rights <http://www.un.org/en/universal-declaration-human-rights/>

ISO26000 <http://www.iso.org/iso/home/standards/iso26000.htm>

EICC Code of Conduct http://www.eiccoalition.org/media/docs/EICCCodeofConduct5_1_English.pdf

Dodd-Frank Wall Street Reform and Consumer Protection Act
<http://www.sec.gov/about/laws/wallstreetreform-cpa.pdf>

ISO 14001 <http://www.iso.org/iso/iso14000>

SA 8000 <http://www.sa-intl.org/index.cfm?fuseaction=Page.ViewPage&PageID=937>

SAI <http://www.sa-intl.org/>

Ethical Trading Initiative www.ethicaltrade.org/

OHSAS 18001 <http://www.bsigroup.jp/>

JEITA Supply-chain CSR Promotion Guidebook (only in Japanese) <http://home.jeita.or.jp/ecb/csr/>

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