**R20.28RS SRI Registration Survey for ResponsibleSteel**

To be used to obtain a quotation proposal for ResponsibleSteel Registration by SRI. When completing this information survey, please include each facility involved in the ResponsibleSteel program, as applicable. Thank you for your cooperation.

1. **Company Information**
2. Company Name:
3. Division:
4. Address:
5. Issue Proposal to (ResponsibleSteel Contact): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Same address as above?  Yes  No If No, please provide mailing address.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

E-mail Address: Web Site Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Telephone: Fax: \_

1. Designated Audit Contact: Same as ResponsibleSteel Contact above?  Yes  No

If No, please provide all necessary contact information. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. List the organization’s primary IAF Code: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. Primary language(s) spoken other than English \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
3. Are you a subsidiary or division of another organization?  Yes  No

If so, whom:

1. Are you a ResponsibleSteel member?  Yes  No Please note that only ResponsibleSteel are eligible for this service. If you are a member, please attach evidence of your membership when you return this form.
2. The audit will be conducted following the current versions of these ResponsibleSteel documents:

[https://www.responsiblesteel.org/certification/certification-resources/](https://www.responsiblesteel.org/certification/certification-resources/%20)

a) ResponsibleSteel Standard

b) Implementation Instructions

c) ResponsibleSteel Glossary

d) 'ResponsibleSteel Certification for Sites'

e) Information on using the ResponsibleSteel trademarks, being the ResponsibleSteel logo, name and

approved text claims, and on making claims in relation to participation in the ResponsibleSteel program

f) Any other ResponsibleSteel guidance documents developed for sites.

1. Please complete the “Site Application Details” in the Responsible Steel Implementation Instructions and provide a copy along with this completed document. When providing a proposed scope, please refer to the ResponsibleSteel Assurance Manual sections 2.1.4 and 2.1.5.
2. Additional ResponsibleSteel information required:
3. Facilities and associated activities that are directly related but are not included in the certification scope: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
4. Sites and facilities that are covered by the ResponsibleSteel certificate. [For example, 2 Electric Arc Furnaces, 2 LMF, 1 Hotmill/Rolling mill complex with 2 – Tunnel Furnaces and Finishing Lines (PLTCM, SPM, BAF, CGL), and supporting operations (scrap yard, slag yard, storage buildings, water treatment plant, water treatment building, and administrative building)]: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
5. Support functions that may contribute to the audit (for examples, corporate support site), provide support function company name and address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Please complete the following table identifying the site(s) to be registered and provide the requested information for each. Note: If the site has different addresses for buildings (located on property) indicate such below:**\***

| **Location and Organization (Sites) including addresses for all buildings, etc.** | **No. Shifts (incl. times)** | **No. of Employees, (incl. temps\*1)** | **Products and/or Services** |
| --- | --- | --- | --- |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**\*Attach additional page(s) if more space is necessary**

**\*1 Count those performing work related to the ResponsibleSteel activities**

1. Over a typical 6-month period, what is the average daily number of contractors on site that apply to ResponsibleSteel activities?\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. Do you have dedicated shifts? (Y/N) Describe: .
3. Is production performed on all shifts? (Y/N) Explain:
4. Do you have Statutory / Regulatory requirements” (refer to ISO 14001:2015 paragraph 6.1.3) that may affect your ResponsibleSteel requirements? *(Examples: Voluntary remediation commitments, Voluntary State programs, RoHS, IMDS)* (Y/N)

Describe:

1. **Time Frame**
2. When are you planning to be ready for the first site's ResponsibleSteel Stage 1 audit?
3. When are you planning to be ready for the first site's ResponsibleSteel Stage 2 audit?
4. **Audit Related Questions** - *(Please attach an organizational chart of your company and the reporting hierarchy of your* ResponsibleSteel *organization and a copy of the site(s) map.)*
5. Do you have documentation that complies with the ResponsibleSteel standard? (Y/N)
6. Does your documentation apply to all locations (Corporate)? Or (Y/N)
7. Does each location have its own documentation (site specific)? (Y/N)
8. Are there any activities associated with the ResponsibleSteel that are conducted outside of the organization or subcontracted activities (on-site or off-site)?

What Activities?

Where?

1. Is Headquarters part of the scope? (Y/N) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. Other business units? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
3. Company Property: Owned Leased Sq. Ft. or Acres
4. Describe immediate plant surroundings (i.e., land, rivers, navigable waters, residential):
5. Describe any remediation activities:
6. Number of contractors and/or service providers with significant environmental impacts and describe the service and/or activities provided:
7. Types of Environmental Aspects Identified -- Mark an “X” in each column that applies.

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Air Emissions** | | | **Discharges to Water** | | | **Waste Disposal** | | | |
| Dust/Particulate |  | | Sanitary only to septic |  | | Solid (Municipal) Waste | |  | |
| VOCs |  | | Sanitary, and process water discharge to POTW below amounts triggering permit conditions |  | | Used Oil | |  | |
| NOx |  | | Storm water discharge to POTW / common discharge from industrial park |  | | Industrial/Special Waste | |  | |
| SOx |  | | Storm water discharge to waterway per permit conditions |  | | Universal/E-Waste | |  | |
| HAPs |  | | Sanitary and process water discharge to POTW per permit conditions |  | | Asbestos | |  | |
| CFCs |  | | Pre-treated sanitary/process water discharged to POTW per permit conditions |  | | Hazardous Waste | |  | |
| Greenhouse Gases |  | | “Zero discharge” facility/ emergency discharge only (Sanitary/process water is cleaned and recirculated) |  | | Toxic Waste (PCBs) | |  | |
|  | | | Pre-treated sanitary / process discharged to waterway per permit conditions |  | | Radioactive Waste | |  | |
| **Natural Resources** | | **Community** | | | | | **Other Aspects – Please Describe** | |
| Chemical Use |  | Noise | | |  | |  | |
| Water Use |  | Odor | | |  | |
| Energy Use |  | Traffic | | |  | |
| Historic Site |  |  | | | | |
| Wetlands |  |
| Forest |  |
| Protected/Endangered Species Habitat |  |
| Ground Water Protection/Remediation |  |

1. Number of regulatory permits in effect. **Please mark an “X” next to all applicable permits, plans, requirements and controls and describe any others not listed in the space provided**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **AIR** | | | | **WATER** | | | |
| Minor Source |  |  | | General Storm Water Permit |  |  | |
| Area Source |  | City Sewer Ordinance |  |
| Major Source |  | NPDES – storm water |  |
| Source Operating Permit |  | NPDES – process water |  |
| Title V/PSD |  | On-Site Pre-Treatment – Sanitary water |  |
| Visible Emissions Monitoring |  | Monthly or Less Frequency |  | On-Site Pre-Treatment – Process water |  |
| Weekly or More Frequency |  | On-Site Water Treatment for reuse |  |
| Continuous Opacity Monitoring Unit |  | Number |  | Retention Pond |  | Number |  |
| Continuous Emissions Monitoring Unit |  | Number |  | Storm Water Outfall |  | Number |  |
| Fugitive Dust Plan |  |  | | Other Outfall |  | Number |  |
| Malfunction Abatement Plan |  | SWPPP |  |  | |
| Bag House |  | Number |  | SPCC |  |
| Dust Collector |  | Number |  | **Other – Please Specify:** | | | |
| Incinerator/Afterburner |  | Number |  |
| Stack Testing |  | Frequency |  |
| Scrubber |  | Number |  |
| Road Watering |  |  | |
| **Other – Please Specify:** | | | |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **WASTE** | | | | **HAZARDOUS MATERIALS** | | |
| Solid (Municipal) Waste |  |  | | No EHS Chemicals on-site | |  |
| Hazardous Waste Generator | VSQG | |  | Storage of EHS Chemicals below SARA 312 reporting threshold | |  |
| SQG | |  | Storage of EHS Chemicals above SARA 312 reporting threshold | |  |
| LQG | |  | Chemicals Stored in: | Containers |  |
| Permitted Hazardous Waste TSD | Treatment | |  | Tanks |  |
| Storage | |  | **Other Permits or Requirements – Please Specify:** | | |
| Disposal | |  |
| Haz. Waste Accumulated in: | Lab Packs or <55G | |  |
| 55G Containers | |  |
| Tanks | |  |
| On-site Landfill | Solid Waste | |  |
| Hazardous Waste | |  |
| Used Oil Handling | Generator | |  |
| Transporter | |  |
| Marketer | |  |
| Burner | |  |
| Re-refiner/Processor | |  |
| Collection Center | |  |
| Used Oil Accumulated in: | Containers | |  |
| Tanks | |  |
| Inside | |  |
| Outside | |  |
| On-Site Used Oil Recycling | Filtration | |  |
| Burning for Energy Recovery | |  |
| Universal Waste Handler | SQH | |  |
|  | LQH | |  |
| PCBs |  |  | |
| Asbestos |  |
| Radioactive Waste |  |
| Remediation Site |  |
| **Other – Please Specify:** | | | |

1. **Risk and Complexity -** Please characterize your risk and complexity in the following areas:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **Complexity Risk** |  |  |
|  | **Low** | **Medium** | **High** | **Your Rating (L, M, H**) |
| **Environmental Aspects** | Site conducts hot and cold forming and metal fabrication | Site conducts surface and other chemically-based treatment for metal-fabricated parts | Site conducts primary production of metal (except EAF, which falls into Medium category) |  |
| **Health and Safety  Aspects** |  | Site conducts surface and other chemically-based treatment for metal fabricated parts and for general mechanical engineering (depending on the treatment and the size of the component could be high | Site conducts primary production of metal  Or  Site conducts hot and cold forming and metal  fabrication |  |
| **Management Systems** | Site is certified against relevant management system standard(s) with no or few minor nonconformities | Site is certified with many minor nonconformities or at least one major nonconformity | Site does not have a certified management system or certification was suspended or withdrawn in the past 3 years |  |
| **Legal Compliance** A significant fine is considered > USD 10,000.  Sanctions includes settlements | Site is fully compliant with permit conditions | Site had a noncompliance resulting in a significant fine or sanction in the past 3 years | Site had a noncompliance resulting in a significant fine or sanction within the past year |  |
| **Context**  CPI = Corruption  Perceptions Index  EPI =  Environmental  Performance Index  HFI = Human  Freedom Index | Site is located in a country with a CPI  score > 50  EPI score > 60  HFI score > 7 | Site is located in a country with a CPI score 30 - 50  EPI score 60 - 50  HFI score 7 - 6.5 | Site is located in a country with a CPI  score < 30  EPI score < 50  HFI score < 6.5 |  |
| **Stakeholder concerns** | There are no known risks or issues in relation to the site | There are some known risks or issues in relation to the site | There are many and persisting known risks or issues in relation to the site |  |

1. **Other Management Systems**
2. Are you certified to other Management System Standards, e.g., ISO 9001, IATF 16949, AS9100? (Y/N)

Which Standard(s)? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

If not, would you like to discuss other certifications with SRI? Yes \_\_\_\_ No \_\_\_\_\_

1. Have you developed an integrated system? Yes \_\_\_\_ No \_\_\_\_

Which Standards are integrated? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

* Does the ResponsibleSteel documentation information include/meet all cited Standards? Yes \_\_\_\_ No \_\_\_\_\_
* Do internal audits address requirements of all standards/conducted in a combined effort? Yes \_\_\_\_ No \_\_\_\_\_
* Do management reviews address required inputs & outputs from all Standards? Yes \_\_\_\_ No \_\_\_\_\_
* Are the required procedures common to all Standards? (doc & record control, training) Yes \_\_\_\_ No \_\_\_\_\_
* Is the corrective and preventive action system common to all cited Standards? Yes \_\_\_\_ No \_\_\_\_\_
* Is the Management Rep the same for all Standards? Yes \_\_\_\_ No \_\_\_\_\_

If the answer to all the above is yes, your system is integrated, and SRI will quote accordingly. Depending on the systems that are integrated, other information may be required. SRI will advise.

1. **For Our Information**
2. Does your company belong to any professional industry organization(s)? Yes \_\_\_\_ No \_\_\_\_\_
   1. If yes, what association(s)? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
3. How did you hear about SRI? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
4. Do you outsource any of the processes of your management system? This includes both production and non-production processes. Yes\_\_\_\_\_No\_\_\_\_\_ If yes, indicate the processes outsourced:  
    \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
5. Do you use a management system consultant? Yes\_\_\_\_\_No\_\_\_\_\_ If yes, indicate the name of your consultant: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
6. Do you have any relevant legal obligations, that are planned for and executed through your management system? Yes\_\_\_\_\_No\_\_\_\_\_ If Yes, list them here: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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1. Are you ITAR responsible? Yes \_\_\_\_ No \_\_\_\_\_ Classified material or export control requirements related to SRI access, must be disclosed. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. SRI auditors may not be U.S. citizens. Does your organization restrict foreign national entry to its site(s)?

Yes \_\_\_\_ No \_\_\_\_\_ Please describe these restrictions. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

This survey is provided to assist SRI Quality System Registrar, in defining your scope of registration and preparing a cost estimate. Its receipt by SRI does not acknowledge our acceptance and/or approval of any aspect of your possible ResponsibleSteel registration.

Respondent’s Signature Title Date

*Thank you for completing this survey for a cost proposal. Please return to SRI via e-mail.*

**SRI Quality System Registrar, A PRI Company**

**161 Thorn Hill Road ● Warrendale, PA 15086**

**Tel.: 724-934-9000 ● survey\_info@SRIRegistrar.com**