

NTT DATA Guidelines for CSR in Supply Chain

April 2014

Introduction

The business environment is changing rapidly through the globalization of corporate activities and innovation in the information technology. Furthermore, there is increasing public attention to corporate activities to resolve various issues in society.

Under these circumstances, it is expected that corporations contribute to sustainable development of society, as a member of society, by taking a proactive approach to CSR (Corporate Social Responsibility) initiatives.

NTT DATA, hereby establish our basic policy in procurement so that we can fulfill our commitment for CSR through our everyday procurement activities. We believe that it is our mission and responsibility to contribute to society by rendering it fulfilled, harmonious, and secure. We also believe that it is critical to grow our organization alongside contributing to our clients and the growth of society surrounding us through the creation of a new scheme and value, as well as practice of healthy and transparent operation.

[Procurement Policies]

1. NTT DATA will strive to provide competitive opportunities with fairness to both domestic and foreign suppliers, and to build mutual trust and understanding.
2. NTT DATA will conduct economically rational procurement of competitive goods and services that meet its business needs, deciding suppliers based on quality, price, delivery times and stable supply in a comprehensive manner.
3. NTT DATA will conduct procurement in a manner that follows laws and regulations as well as social norms, and takes the environment, human rights and other issues into account to contribute to society.

NTT DATA must develop further its relationships and mutual understanding with suppliers to implement CSR with suppliers through the aforementioned procurement policies. NTT DATA Group have formulated "NTT DATA Guidelines for CSR in Supply Chain" to regulate its CSR activities.

"NTT DATA Guidelines for CSR in Supply Chain" encourage suppliers to go beyond legal compliance, drawing upon internationally recognized standards, in order to advance social and environmental responsibility, and business ethics.

April 2014

NTT DATA Corporation Purchasing Department

NTT DATA Group CSR Policy

■ Material CSR Challenges

We practice Our Way, the guiding principles of our CSR activities, by pursuing our Material CSR Challenges of developing paradigms for society and regional communities, for people at work and for the global environment.

◆ Paradigms for society and regional communities

- Contributing to society at large through highly reliable, easy-to-use systems and solutions
- Contributing to solving the problems that face the regions and countries in which the NTT DATA Group operates

◆ Paradigms for people at work

- Promoting work style innovations for the IT industry as a whole
- Striving to cultivate next-generation personnel, while respecting the diversity of human resources

◆ Paradigms for the global environment

- Contributing to the greening of customers and society as a whole through IT
- Contributing to solving environmental problems, including in the NTT DATA Group's activities

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I Human Rights and Labor

[I-1] Prohibit forced labor

Suppliers are requested to respect all employees' will, and not to practice forced labor.

The forced labor, mentioned above, indicates all non-voluntary labor against workers' will.

The following are examples of typical forced labor:

- Labor that is against one's will
- Labor which prohibits workers to leave the job over unpaid debts
- Slave labor practiced as a result of trafficking of humans
- Inhumane prison labor in harsh environments

The following are also regarded as forced labor:

- Prohibition of voluntary departure
- Obligation to deposit identification cards/passports/work permit cards with employers

[I-2] Prohibit inhumane treatment and infringements of human rights

Suppliers are requested to respect human rights of employees and prohibit harsh and inhumane treatment such as maltreatment and/or harassment.

Examples of inhumane treatments are abuse, physical punishment, sexual harassment, and intimidating harassment (harassment by verbal abuse and intimidating acts).

[I-3] Prohibit child labor

Suppliers are requested not to employ children who are under the minimum labor age and not to assign such jobs that impair children's development.

Generally, child labor means the following kinds of employment:

- Employment of persons who are under the minimum labor age as specified in a treaty and/or recommendations of the International Labor Organization (ILO)
- Negligence of young laborer protection

For example, employment of workers who are under fifteen years old and violations of the law to protect young laborers are prohibited as cases of child labor in Japan. Limitation of night-shift work and dangerous work are concrete examples of protecting young laborers from employment that may impair their health, security, and morality.

Also, in international cases, employment of persons who are under the minimum labor age and violation of the obligation to protect them are seen as child labor.

In countries where there are no relevant laws, acts violating a minimum age treaty and/or recommendations of the ILO are regarded as child labor (The rule for minimum employment age is fifteen years old: ILO treaty No.138.)

[I-4] Prohibit discrimination

Suppliers are requested to prohibit discrimination during the process of job offering and hiring, and to work toward the equal opportunity and fairness of treatment.

Discrimination indicates making difference in opportunities and/or treatment such as recruitment, promotion, reward and participation in training, due to elements other than rational factors such as one's ability, competence, and achievement.

Examples of elements of discrimination are race, ethnicity, nationality, birthplace, color, age, gender, sexual orientation, disability, religion, political affiliation, union membership, marital status, and so on.

Additionally, if health examinations and pregnancy tests impair the equality of opportunities or treatments, such act is considered as discrimination.

[I-5] Pay wages

Suppliers are requested to pay the legal minimum wage or more, and not to practice unfair wage deduction as a means of disciplinary action.

The minimum wage indicates the lowest wage specified in each country's wage-related laws. Other allowances including overtime compensation and legal payments are also concerns in this section.

Improper wage reduction indicates a wage reduction violating labor-related laws, etc.

[I-6] Regulate working hours

Suppliers are requested to regulate employee's working hours/holidays/vacations to observe the legal ceiling.

In other countries where factories or other facilities operate, proper control refers to compliance with the relevant local regulations on working hours. The following are examples of proper control in Japan:

- Working hours (except for emergency cases) do not exceed the legal ceiling
- Providing the rights of holidays and vacations leave on an annual basis as specified in the law

[I-7] Respect the rights to freedom of association and collective bargaining

Suppliers are requested to respect the rights to freedom of association of employees and collective bargaining, as a means of employer-employee consultation, in order to settle working conditions such as a wage level.

Respecting the rights of employees to organize and the right to collective bargaining indicate for example the following rights in compliance with regulations:

- Freedom of association, without revenge, threats, and/or harassments to employees
- Freedom to participate in labor unions and conduct labor union activities
- Freedom to engage in collective bargaining

II Occupational Health and Safety

[II-1] Apply safety measures for equipment and instruments

Suppliers are requested to apply appropriate safety measures for equipment and instruments used in their company.

Appropriate safety measures require management to prevent work-related accidents and health problems.

The following are examples of appropriate control:

- Adoption of safety mechanisms such as fail-safe, foolproof, and inter-lock
- Installation of safety devices and protective barriers
- Periodic inspection and maintenance of machinery

[II-2] Promote safe activities in the workplace

Suppliers are requested to evaluate their own safety risks and to ensure safety in the workplace with appropriate designs, techniques, and control methods.

The risk to safety in the workplace indicates potential risks of work-related accidents and health problem such as electric shock or other energy-caused accidents, fire, vehicles, slippery floors, or falling objects.

The following are examples of appropriate design, technology and control methods:

- Monitoring dangerous places with sensors
- Blocking off sources of power to machinery by locking it (lock out)
- Setting a tag that specifies the prohibition of manipulating an energy blocking device while the source of power is blocked (tag out)
- Provision of protective equipment such as glasses/hard hat/gloves, etc.
- Displaying safety procedures
- Producing and displaying safety manuals

[II-3] Promote hygiene in the workplace

Suppliers are requested to be aware of the conditions in the workplace related to biological and chemical harm, noise, and odor, which are harmful to health, and to take appropriate measures.

Chemical substances that are harmful to the human body include for example smoke, mist, dust, poison, nuclear radiation, and substances that cause chronic diseases (lead, asbestos, etc.). Excessive noise and odor are also elements of this section deemed to be harmful to the human body.

The following are examples of appropriate measures:

- Identification of ways to contact these harmful chemical substances, and their assessment
- Establishment and operation of management criteria
- Appropriate education on hygiene for workers
- Provision of protective devices to workers, etc.

[II-4] Apply appropriate measures for occupational injuries and illnesses

Suppliers are requested to be aware of the situation of occupational injuries and illnesses in the workplace, and to take appropriate measures.

The following are examples of appropriate measures:

- Rules and programs that enable reporting by employees
- Classification and record of injury/illness
- Provision of required medical treatment
- Investigation of injury/illness
- Execution of measures to correct and eliminate the cause
- Promotion of returning affected employees to the workplace, etc.

The following are also regarded as appropriate measures:

- Subscription of workers' accident insurance
- Administrative procedure required by law

[II-5] Properly manage disasters and accidents

Suppliers are requested to prepare emergency response measures for possible disasters and accidents in order to protect human lives, and to inform people in the workplace.

Typical examples of emergency response measures are as follows:

- Prompt reporting during an emergency
- Notification to employees
- Clarification of evacuation procedures
- Installation of evacuation facilities
- Storing of emergency medical products
- Installation of a fire detecting system and fire containment devices
- Securing external communication
- Development of a recovery plan, etc.

The following are ways to keep employees in the workplace informed:

- Implementation of emergency response education for employees (including evacuation drills)
- Storing or posting emergency response procedures, etc. within the reach of employees in the workplace

[II-6] Consider physical workload

Suppliers are requested to define physically heavy workload, and to control it appropriately to prevent injury and illness.

Examples of operations that require physically heavy workload include the following:

- Physically hard work such as manually carrying heavy objects
- Long-term repetitive work and continuous work such as assembly and data entry work

Examples of appropriate control include periodical breaks, provision of assistive devices, split of work, and cooperation with colleagues, etc.

[II-7] Promote safety and hygiene in all company facilities

Suppliers are requested to maintain appropriate safety and hygiene at welfare facilities for all employees provided by the company (e.g., dormitory, canteen, restroom.)

The welfare facilities provided for employees include the following:

- Facilities provided in the workplace for employees (restrooms, canteens, etc.)
- Facilities provided for employees outside the workplace (company dormitories, etc.)

Along with keeping cleanliness/sanitation, typical proper examples are measures for safe drinking water, fire, air ventilation, temperature control, emergency escape route (exit), and secure storage of personal belongings.

[II-8] Promote health maintenance programs for employees

Suppliers are requested to provide appropriate health maintenance programs for all employees.

Appropriate health management serves to prevent and detect employees' illness early by providing medical checkups at least according to the legal standard. This includes adequate consideration for prevention of health problems due to overwork and care for mental health.

III Environment

[III-1] Control chemical substances contained in products

Suppliers are requested to control chemical substances (contained in all products) as defined by laws and regulations.

Examples of controlling chemical substances in products include the following;

- The products must be kept under control so they do not include chemical substances that are legally prohibited to contain
- Required labeling must be performed
- Required testing must be conducted

[III-2] Control chemical substances in manufacturing process

Suppliers are requested to control chemical substances (used in manufacturing processes) as defined by local laws and regulations.

Examples of controlling chemical substances in product manufacture include the following;

- The manufacturing process must be controlled not to utilize chemical substances that are legally prohibited to contain
- Monitoring the amount of emissions to the external environment and reporting it to the government, and trying to reduce the amount of emissions of any relevant chemical substances

[III-3] Establish and apply an environmental management system

Suppliers are requested to establish and implement an environmental management system.

An environmental management system indicates the part of the overall management system that includes organizational structure, planning activities, segregation of duties, procedures, processes and resources to promote environmental activities.

Environmental activities mentioned here indicate activities to develop the environmental policy and implement, achieve, review, and maintain the measures according to the policy in order to promote a continuous improvement program by using the cycle of PDCA (Plan Do Check Act).

One of the typical environmental management systems is ISO 14001, and suppliers can receive a third-party certificate regarding the management system.

[III-4] Minimize environmental pollution (water, soil, air)

Suppliers are requested to be in compliance with local laws and regulations of drainage, sludge and air emissions and to reduce such environmental pollution by voluntary standards as needed.

Voluntary standards aim to have a clear objective for reducing environment impacts above the level of the standard defined by law.

Besides preventing the occurrence of common pollutions, the following activities are good practices for further improvement: improvement of monitoring, controlling, processing of drainage/sludge/exhaust, etc. and reduction of their amounts.

[III-5] Obtain environmental permits

Suppliers are requested to obtain necessary environmental permits as defined by local laws and regulations, and to submit necessary reports to the government.

In Japan, examples of legal obligations to install officers who have legally-defined qualifications include the following:

- Waste Disposal and Public Cleaning Law: Responsible officer of specially controlled industrial waste
- Law Concerning the Rational Use of Energy: Qualified person for energy management in factories that use more than a certain level of energy
- Air Pollution Control Law, etc.: Officer in charge of pollution control in factories that emit chemical substances, dust, exhaust, and so on

Officers in charge of for example poison, specified chemical substances, and hazardous materials are also required to be installed depending on the chemical substances used in the business.

In addition, government permits/licenses concerning for example environmental influence evaluation and facilities dealing with hazardous material may be needed depending on the contents of the business and location of the factory.

[III-6] Promote resource and energy saving by reusing, reducing, and recycling (3R)

Suppliers are requested to define a voluntary goal of natural resources and energy saving, and to implement continuous activities for efficient usage.

Resource saving is striving to effectively utilize resources. The following are examples of typical programs:

- Reduction of waste and material usage when making a product
- Utilization of recycled resource and parts
- Utilization of renewable energy, etc.

Energy saving strives to reduce the use of heat and electric energy. By saving energy, fuel resources such as oil, natural gas, coal, coke etc. can be used effectively.

3R stands for Reduce, Reuse, and Recycle.

[III-7] Promote green-house gas reduction

Suppliers are requested to define voluntary goals for green-house gas reduction, and to implement continuous activities for further reduction.

Although there are various types of greenhouse gases, the following six types of substance groups are specified particularly in the Kyoto Protocol: carbon dioxide, methane, nitrogen dioxide, HFC, PFC, and SF6.

Setting voluntary goals for reduction, making plans, and actively implementing the plans for these six types of greenhouse gases are good practices of continuous reduction activities.

[III-8] Promote waste reduction

Suppliers are requested to define voluntary goals for final waste reduction, and to implement continuous activities for further reduction.

Final waste is defined as landfill trash or incinerated waste. Continuous reduction activity for final waste includes setting voluntary reduction targets, developing and actively implementing a plan.

[III-9] Disclose environmental preservation activities

Suppliers are requested to disclose outcomes of environmental activities appropriately.

Examples of outcomes of environmental activities are as follows:

- Measures implemented for environmental preservation
- Emissions to air/drainage/lands
- Amount of used resources and energy efficiency of products

Also, environmentally harmful outcomes that business establishments have caused are included.

To summarize outcomes regularly, it is good practice to define the organization and to assign responsible officers to conduct environmental preservation activities, who continuously make records concerning management indicators of environmental preservation activities, achievement of the activity objectives, and other important matters relating to the environment.

Disclosures of environmental reports and/or necessary reports to stakeholders are examples of disclosing methods.

IV Fair Trading

[IV-1] Prohibit corruption and bribery

Suppliers are requested to maintain a sound and normal relationship with political bodies and government administrations, without resorting to bribery and/or making illegal political donations.

“Bribery” means acts of offering money, entertainment, gifts, or other benefits/conveniences to public servants or equivalent persons (hereafter called public employees), in pursuit of some business advantage in return, such as approval and license, acquisition/maintenance of trading, and access to nondisclosure information.

In addition, “Bribery” includes entertainment or gift-giving that is beyond social norms even without seeking return.

“Illegal political donation” means acts of contributing political donations and requesting some business advantage in return, such as approval and license, acquisition/maintenance of trading, or access to nondisclosure information. It also includes a political donation which does not follow the proper legal procedures.

[IV-2] Prohibit abuse of dominant bargaining position

Suppliers are requested not to create a disadvantage for their suppliers by abuse of dominant bargaining position.

Abuse of dominant bargaining position indicates acts of taking advantage of one's dominant positions as a purchaser or outsourcer.

The following are examples of abuse of dominant bargaining position:

- Unilaterally determining or changing trade conditions with suppliers
- Imposing irrational demands or obligations on suppliers

Procurement transactions shall be fairly and faithfully conducted based on contracts and suppliers are required to prevent abuse of dominant bargaining position. In countries with legislation relating to abuse of dominant bargaining position, the relevant laws are required to be observed. (For example, the Anti-Monopoly Law, or the Subcontracting Law, in Japan)

[IV-3] Prohibit the offering and receiving of inappropriate profit and advantage

Suppliers are requested not to offer and/or to receive inappropriate benefits to/from stakeholders.

Typical examples of inappropriate benefit offering/receipt are as follows:

- Bribery activity such as offering or receiving a gift, award, prize money, etc. to/from a customer beyond the defined by laws
- Providing or accepting money/valuables or entertainment beyond the social norm
- Insider trading by which stock of a company is traded based on critical nondisclosure information about operations of a customer, etc.

Suppliers are required not to supply inappropriate benefit to an antisocial force (criminal organization, terrorist group, etc.) that adversely affects public order or sound activities, and furthermore, suppliers must not maintain any relationship with such forces.

[IV-4] Prohibit anti-competitive conduct

Suppliers are requested not to impede fair, transparent, and free competition.

“Anti-competitive conduct” indicate acts of making prior agreements among companies in the same trade about product/service prices, quantities, sales areas, etc. (cartel), or prior arrangements with other bidders about a winning bidder and successful tender price (collusive bidding).

Furthermore, obtaining and utilizing trade secrets of other companies in an illegal way, showing false indication and showing indication that confuses customers about other companies' products are also referred to as acts of unfair competition.

[IV-5] Provide accurate information on products and services

Suppliers are requested to provide accurate information on products and services to consumers and customers.

Typical examples of accurate information are as follows:

- Accurate specification, quality, and handling procedures about products/services
- Accurate information on substances contained within products and their components
- Sales promotion such as catalogs and advertisements for a product/service shall not use untruthful/incorrect expressions and descriptions that mislead consumers/customers, and shall not include information that slanders or infringes other companies or individuals

[IV-6] Respect intellectual property

Suppliers are requested not to infringe upon intellectual property rights.

“Intellectual property rights” (IPR) refers to patent rights, utility model rights, design rights, trademark rights, copyrights, trade secrets, and so on.

Prior to development, production, sale, and/or provision of a product/service, a preliminary IPR survey shall be sufficiently conducted about the intellectual properties of third parties. The usage of a third party’s intellectual property without permission constitutes an infringement of IPR, except for cases that have valid reasons.

Furthermore, any unlawful utilization or copy, etc. of metal mold drawings, computer software, or other writings falls under the infringement of intellectual property rights.

Likewise, illegal procurement and utilization of a trade secret of a third party also constitutes an infringement of IPR.

[IV-7] Use appropriate export procedures

Suppliers are requested to streamline a clear-cut control system and execute proper export procedures, regarding exports of technologies and goods defined by laws and regulations.

“Technologies and goods regulated by laws and regulations” include parts, products, technologies, facilities, and software, exports of which are stipulated by international treaty/agreement/regulations (such as Wassenaar Arrangement) and domestic laws.

Exporting may require specific procedures such as acquiring permission from the governmental regulatory authorities.

[IV-8] Disclose appropriate company information

Suppliers are requested to positively disclose company information for stakeholders, regardless of legal obligation.

The information to be provided/disclosed for stakeholders includes control of business activities, financial status, business performance, risk information (e.g. damage by a large-scale disaster, occurrence of an adverse effect on the environment and society, discovery of a serious law violation), and so forth.

Disclosing and offering information of serious risk status to customers at all times is an example of positive information provision.

[IV-9] Detect injustice promptly

Suppliers are requested to perform activities to prevent improper acts, and to streamline a system to discover and to respond to improper acts at an early stage.

“Activities to prevent improper acts” indicates to train and enlighten employees as well as to create a rich communication environment in the workplace.

Typical examples of measures for a “system to discover and respond to improper acts at an early stage” are as follows:

- Assign in-house and outside contact persons who handle improper acts so that the top management can discover an improper act at an early stage
- Try to ensure the privacy of the whistleblower and protect the whistleblower appropriately
- Quickly respond to an improper act, and provide the resulting response to the whistleblower

V Product Quality and Safety

[V-1] Ensure product safety

Suppliers are requested to comply with safety standards defined by laws and regulations of each country for products, when they develop/design them on their own responsibility.

In the product design phase, product safety shall be sufficiently ensured with consideration of product liability and responsibility as a manufacturer. As well as legal compliance, product safety should also consider normal safety standards.

The following are examples of laws on product safety in Japan:

- Electrical Appliance and Material Safety Law
- Consumer Products Safety Law
- Household Goods Labeling Law

Safety standards are defined in detailed regulations of laws, JIS, etc. International safety standards include UL (U.S.), BSI (U.K.), and CSA (Canada).

Ensuring product safety includes management of traceability (history of materials, parts, processes, etc.) and prompt response for solving a problem.

[V-2] Establish and apply a quality management system

Suppliers are requested to establish and implement a quality management system.

The quality management system is a part of overall quality management that includes organizational structure, planning activities, segregation of duties, procedures, processes and resources to promote quality assurance activities.

Quality assurance activities here mean to develop a quality policy and implement, achieve, review, and maintain the measures according to the policy in order to promote a continuous improvement program by using the cycle of PDCA (Plan Do Check Act).

Some examples of the typical quality management systems fall into ISO9000 family, ISO/TS16949, and ISO13485.

VI Information Security

[VI-1] Prevent the leakage of customer and third-party confidential information

Suppliers are requested to define the control, protection, scope of disclosure and handling procedures of confidential information received from customers and third parties.

Confidential information usually is any information provided with a document, etc. (including electromagnetic- or optically-recorded data information) that is deemed as a confidential, or orally disclosed after confidentiality is notified.

The following are examples of appropriate control and protection, as well as the scope of disclosure and handling procedures of confidential information:

- Proper control requires construction and operation of an overall management scheme on confidential information
- Create regulations and guidelines to be observed by employees
- Make plans, implementing programs, internal audits, and reviews based on the management scheme
- Prevent from unreasonably or improperly obtaining, utilizing, disclosing, or leaking confidential information

[VI-2] Prevent the leakage of personal information

Suppliers are requested to define the control, protection, scope of disclosure and handling procedures of employees', customers' and third parties' personal information.

Personal information is any information on existing individuals, which can identify a specific person, such as name, birth date, and other descriptions in the information (it also includes information that can be easily verified with other information to identify a specific person.)

The following are examples of appropriate control and protection, as well as disclosure of the scope and handling procedures of personal information:

- Appropriate control indicates construction and operation of an overall management scheme on personal information
- Create regulations and guidelines to be observed by employees
- Make plans, implementing programs, internal audits, and reviews based on the management scheme

- Prevent from unreasonably or improperly obtaining, utilizing, disclosing, or leaking personal information

[VI-3] Secure computer networks against threats

Suppliers are required to take protective action against threats on information systems and the computer network, and to prevent damage to their company and others.

Examples of threats on information systems and the computer network refer to, as examples, tampering, security leaks, impersonation, malware infections, unauthorized server access and DoS/DDoS.

If a computer connected to the Internet should be infected by computer threats, or unauthorized system access, customer information and confidential information may be leaked out and/or these computer threats may attack computers of other companies, resulting in serious damages such as suspension of business or loss of credibility.

Therefore, it is important to take effective measures against such threats on information systems and the computer network, so as to avoid harmful influence inside and outside the company.

The following are examples of prevention measures against threats on information systems and the computer network:

- Based on the information system's applicable business importance and classification of information handled, disclose information security measures in terms of information system lifecycles with consideration of risks to information systems
- Regarding the use of information systems and information in such systems, establish appropriate access authorization such as limiting the number of authorized users, and carry out identification and authorization processes in a manner that uniquely identifies individuals
- Disclose the management of credentials such as ID and passwords
- Implement anti-computer virus measures and work to prevent, discover and remove viruses as well as restore information systems and computer networks

[VI-4] Information security in organizations and systems

Suppliers are requested to appropriately manage and carry out information security in order to prevent damage to the company or other parties.

The following are examples of appropriately managing and enforcing information security:

- In order to manage and enforce information security, establish an administrative organization, conduct monitoring as necessary and in accordance with audits and the like, as well as carry out evaluations
- Develop plans to enhance information security measures and establish PDCA cycles
- In the event of the outsourcing of business activities, in outsourcing contracts, stipulate compliance with information security measures
- Also stipulate compliance with information security measures in contracts for temporary employees and the like, who perform duties within the company's working environment, and provide guidance on information security
- Establish mandatory reporting when information leaks, unauthorized access or other similar activities occur, as well as contact networks and countermeasures
- Establish a set of procedures for intentional security breaches or breaches caused by the negligence of employees, etc.

Scope of this guideline and contact

“NTT DATA Guidelines for CSR in Supply Chain” shall apply to the following NTT DATA Corporation.

This guideline is based on the “Supply Chain CSR Driving Guidebook” authored by the Japan Electronics and Information Technology Industries Association (JEITA) in August 2006.

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