UNIVERSITY OF ALBERTA

UNIVERSITY OF ALBERTA

SUPPLIER COMPLIANCE QUESTIONNAIRE and MATURITY SCALE

Department of Procurement and Contract Management | Updated Effective October 2026 **SUPPLIER EVALUATION and VERIFICATION FORM**

INSTRUCTIONS FOR SUPPLIERS:

This form must be completed by all existing suppliers and prospective suppliers. Section A consists of the Compliance Questionnaire (Yes/No questions with details). Section B consists of the Self-Assessment Maturity Scale (rating your operational embedding level from Basic to Advanced). Completed documents must be signed by an authorized company officer.

SECTION A: COMPLIANCE QUESTIONNAIRE

Supplier Legal Name:	
Business Address:	
Primary Contact Name and Title:	
Email / Phone Number:	
Date Completed:	

1. Legal and Regulatory Compliance

Q1.1. Does your organization comply with all applicable federal, provincial/state, and municipal laws in the jurisdictions where you operate?

◯ **Yes** ◯ **No**

If Yes, describe how compliance is monitored. If No, explain:

Q1.2. Do you comply with internationally recognized human rights standards, including those of the International Labour Organization (ILO)?

◯ **Yes** ◯ **No**

Provide reference to relevant policies or practices:

Q1.3. Where local laws differ from internationally recognized human rights standards (e.g., ILO principles) of the University of Alberta Supplier Code of Conduct, do you apply the most stringent standard?

◯ **Yes** ◯ **No**

Explain mechanism:

2. Labour Standards and Human Rights

Q2.1. Does your organization prohibit forced, debt bondage, compulsory, or trafficked labour, and ensure workers retain their identity documents and pay no recruitment fees?

◯ **Yes** ◯ **No**

Provide policy name or excerpt:

Q2.2. Do you prohibit child labour, including hazardous work for minors?

◯ **Yes** ◯ **No**

Describe age-verification processes:

Q2.3. Do workers have the right to freedom of association and collective bargaining where legally permitted?

◯ **Yes** ◯ **No**

Describe how this right is respected:

3. Wages, Hours and Benefits

Q3.1. Do you comply with all applicable minimum wage, overtime, hours of work, and rest period laws?

◯ **Yes** ◯ **No**

Q3.2. Do you pay employees at least a living wage sufficient to cover basic living expenses?

◯ **Yes** ◯ **No**

Explain how living wage is determined:

Q3.3. Are employees provided with clear terms of employment, including pay, benefits, and work schedules?

◯ Yes ◯ No

4. Occupational Health and Safety

Q4.1. Do you maintain a formal Occupational Health and Safety (OHS) program appropriate to your operations?

◯ Yes ◯ No

Attach or reference program documentation:

Q4.2. Are workers provided with required safety training and appropriate Personal Protective Equipment (PPE)?

◯ Yes ◯ No

Q4.3. Do you have procedures to report, investigate, and correct incidents, accidents, and near misses?

◯ Yes ◯ No

Q4.4. Does your personnel adhere to professional conduct standards, including zero tolerance for impairment, harassment, safety violations, or cybersecurity breaches whether working on-site or virtually?

◯ Yes ◯ No

5. Equity, Diversity and Respectful Workplace

Q5.1. Do you maintain a workplace free from discrimination, harassment, bullying, physical, sexual, psychological, or verbal abuse, and retaliation?

◯ Yes ◯ No

Q5.2. Do you have a formal Equity, Diversity, and Inclusion (EDI) policy or program?

◯ Yes ◯ No

Describe or attach details:

Q5.3. Are employees provided with safe mechanisms to raise concerns or complaints without fear of retaliation?

◯ Yes ◯ No

6. Environmental Responsibility

Q6.1. Does your organization comply with all applicable environmental laws (including hazardous and non-hazardous waste disposal), and maintain practices to encourage resource conservation, emission reduction, and waste minimization?

◯ **Yes** ◯ **No**

Provide examples or references:

7. Ethical Business Practices

Q7.1. Do you maintain a formal code of ethics or business conduct policy?

◯ **Yes** ◯ **No**

Attach or reference policy:

Q7.2. Do you prohibit gifts/inducements to public sector employees, conflicts of interest, and corrupt practices?

◯ **Yes** ◯ **No**

Q7.3. Do you comply with all applicable anti-corruption and anti-bribery laws (e.g., Canada's CFPOA, U.S. FCPA)?

◯ **Yes** ◯ **No**

8. Subcontractors and Supply Chain Oversight

Q8.1. Do you require your subcontractors and suppliers to comply with standards equivalent to the University of Alberta's Supplier Code of Conduct?

◯ **Yes** ◯ **No**

Q8.2. Do you monitor and enforce compliance within your supply chain?

◯ **Yes** ◯ **No**

Describe monitoring processes:

9. Animal Welfare (If Applicable)

Q9.1. Do you supply animals or animal-derived products for teaching or research?

◯ **Yes** ◯ **No**

Q9.2. If Yes, do you comply with CCAC / ICLAS standards and apply the Three R's (Replacement, Reduction, Refinement)?

◯ **Yes** ◯ **No**

SECTION B: SUPPLIER SELF-ASSESSMENT MATURITY SCALE

MATURITY ASSESSMENT OVERVIEW — PURPOSE and MATURITY LEVEL DEFINITIONS:

This scale helps the University assess how well your operational practices are embedded.

- **BASIC (Compliant / Foundational):** Meets minimum legal and contractual rules.
- **INTERMEDIATE (Established / Managed):** Formal policies and controls consistently applied.
- **ADVANCED (Leading / Embedded):** Fully embedded, certified (e.g., ISO, COR), proactive metrics.

Area 1: Labour Standards and Human Rights

Maturity Level	Level Description and Indicators	Select
BASIC	Complies with statutory employment standards and strictly prohibits forced and child labour.	◯
INTERMEDIATE	Formal labour and human rights policies in place; mandatory employee training; documented compliance controls.	◯
ADVANCED	Regular independent audits; proactive supply chain monitoring; public ESG/sustainability reporting or third-party certification.	◯

Evidence Provided (Policy name, procedure link, ISO/COR certification, or audit report):

Area 2: Occupational Health and Safety (OHS)

Maturity Level	Level Description and Indicators	Select
BASIC	Complies with applicable regional OHS legislation and basic safety rules.	◯
INTERMEDIATE	Formal health and safety management program; regular safety training; documented incident investigation and corrective action.	◯

Maturity Level	Level Description and Indicators	Select
ADVANCED	Certified OHS system (e.g., COR, ISO 45001); continuous improvement tracking and published safety metrics.	○

Evidence Provided (Policy name, procedure link, ISO/COR certification, or audit report):

Area 3: Equity, Diversity and Respectful Workplace

Maturity Level	Level Description and Indicators	Select
BASIC	Non-discrimination workplace practices compliant with legal minimums.	○
INTERMEDIATE	Formal Equity, Diversity and Inclusion (EDI) and anti-harassment policies; clear complaint resolution mechanisms.	○
ADVANCED	Comprehensive EDI strategy; proactive workforce diversity initiatives; formal diverse and inclusive supplier procurement program.	○

Evidence Provided (Policy name, procedure link, ISO/COR certification, or audit report):

Area 4: Environmental Responsibility

Maturity Level	Level Description and Indicators	Select
BASIC	Basic compliance with applicable environmental laws and waste regulations.	○
INTERMEDIATE	Formal environmental policy; active waste reduction and resource conservation controls.	○
ADVANCED	Certified Environmental Management System (e.g., ISO 14001); carbon footprint tracking and public sustainability targets.	○

Evidence Provided (Policy name, procedure link, ISO/COR certification, or audit report):

Area 5: Ethical Business Practices

Maturity Level	Level Description and Indicators	Select
BASIC	Compliance with anti-corruption, anti-bribery, and fair competition legislation.	○
INTERMEDIATE	Formal code of ethics; clear conflict-of-interest controls; regular employee ethics training.	○
ADVANCED	Independent ethics audits; anonymous whistleblower mechanisms; executive-level compliance oversight and reporting.	○

Evidence Provided (Policy name, procedure link, ISO/COR certification, or audit report):

Area 6: Subcontractor and Supply Chain Oversight

Maturity Level	Level Description and Indicators	Select
BASIC	Contractual flow-down of Code of Conduct terms to immediate subcontractors.	○
INTERMEDIATE	Formal subcontractor screening, pre-qualification, and ongoing performance monitoring.	○
ADVANCED	Risk-based supply chain audits; automated tracking of subcontractor corrective action plans across all tiers.	○

Evidence Provided (Policy name, procedure link, ISO/COR certification, or audit report):

SECTION C: DECLARATION and AUTHORIZED SIGN-OFF

I certify that the information provided in this questionnaire and self-assessment is true, accurate, and complete, and that our organization complies with the University of Alberta Supplier Code of Conduct. All referenced attachments are included with this submission. I understand that the University of Alberta may request additional supporting documentation or conduct verification activities.

Authorized Signatory Name: _____	**Title:** _____
Signature: _____	**Date:** _____