

BACKGROUND

Swedfund is a Development Finance Institution owned by the Swedish Government, and we invest in small and midsize companies in the world's growth markets. In 2010 Swedfund implemented its Policy for Sustainable Development, which – amongst others – requires measuring and following up the development effects of the investments made. This includes an annual survey of the investees' environmental, social and corporate governance performance as well as Development Effects. Being one of our portfolio companies, you receive this annual survey.

Through this assessment Swedfund aspires to:

- fulfill the Swedish Government's requirement for sustainability reporting;
- support portfolio companies to meet or even out-perform on environmental and social requirements and improve corporate governance;
- show the development effects associated with Swedfund's portfolio; and
- share best-practice and foster knowledge exchange through open dialogue.

Swedfund also believes that responding to the questions below contributes to increasing investee awareness on sustainability topics and to fostering internal discussions. We hope that these discussions result in improved risk management, enhanced reputation and image and long-term cost reductions for your company.

Your responses will be used in aggregated form in Swedfund's Integrated Annual Report for 2014. All underlying data will also be subject to an audit by a third party who may or may not chose to approach your company and others in Swedfund's portfolio to validate the responses. **Consequently, you have to be prepared to substantiate your responses by providing relevant documentation in support of your answers in this Questionnaire in the event that Swedfund's auditor wishes to validate your responses.**

INSTRUCTIONS

The questionnaire consists four sheets and about 109 questions:

- Company Information;
- Environmental & Social (62 questions);
- Governance and Anti-Corruption (38 questions); and
- Development Effects (6 + maximum of 3 question depending on sector).

Please consider the following instructions:

Response: Please fill in your answers in the Excel-sheet directly and return the file by e-mail. Please only write in the designated fields (other fields are protected).

Naming this document: Save the document as follows "Sustainability COMPANYNAME YEAR"

Attachments: Please name attachments in a brief, descriptive way, starting with the question(s) for which you are attaching them, e.g. "1-3, 4-2, Sustainability report year.pdf". Please provide pdfs when possible.

Completeness: Completeness of answers is important to allow us to obtain a full picture of the sustainability performance of your company. Please try to provide answers for all questions applicable to your company. All supporting documentation relevant to your answers should be kept available for easy access in case of follow-up questions.

Scope: Please report facts and figures for the timeframe stated in the reporting template (normally 1 January – 31 December for the specified year) for the entire company.

Open questions: Where there are open questions, please provide background information and/or attach relevant documents (policies, forms, etc.)

More information on how to populate the questionnaire can be found in the Q&A section. In case of further questions, please contact Swedfund's ESG Manager Kristin Sjöblom (kristin.sjoblom@swedfund.se; or telephone direct: +46-8-725 94 46), who will be happy to support you.

Thank you for your efforts and a timely response!

Q&A

Is it mandatory to respond to this survey?

Yes. If there are questions you cannot answer or that are not applicable to your specific company, please indicate this in the reporting template.

Who should answer the questions?

This reporting template is sent to the General Manager (MD/CEO/President) or another appropriate Manager at each company. The General Manager can appoint someone such as the ESG Manager (Environmental, Social, and Corporate Governance)/HR Manager or Production Manager to respond to the questions in each section.

What kinds of questions are asked in the document?

The questionnaire comprises closed and open questions.

Closed questions: You have the possibility to respond with 'Yes' or 'No'. Please answer 'if' questions (sub-questions) when your answer to the main question makes this appropriate.

Open questions:

- Quantitative questions require absolute or relative figures.
- Qualitative questions require a descriptive answer (please give a short summary of the situation in your company, and/or attach relevant documents to support your comment.)

What should I do if I don't know the answer to a question?

If the question is unclear to you, please contact Kristin Sjöblom (kristin.sjoblom@swedfund.se).

If the question cannot be answered for your company, please state 'not applicable' or 'not known', depending on your situation, and provide a short explanation in the comment field for the specific question.

Will we get feedback on our performance?

Once we have compiled and analysed the answers, we aim to refer back to you with feedback on your company's performance. Each year, Swedfund will engage a number of portfolio companies in a more comprehensive dialogue about their sustainability management and performance.

Where can I give feedback on the reporting template?

Swedfund aims to continuously improve and appreciates your feedback on this reporting template. Please use the comment field in the questionnaire or send your feedback to Swedfund's ESG Manager Kristin Sjöblom (kristin.sjoblom@swedfund.se) directly.

Confirmation

I hereby certify that the information provided below is true and correct to the best of my knowledge.

I hereby also confirm Swedfunds' right to publish the reported company performance data/results publicly (consolidated for all companies).

Legend

	For input / your responses.
	For your comments, if any.

Respondent information	Name:	
	Position or title:	
	Place and date:	

Company information	Company name:	
	Industry / Sector	
	Contact person data collection (name and position):	
	Email:	
	Telephone:	
	Mobile phone:	

Environmental & Social

Audits and Permits		Question no	Question	Yes	No	Comments or explanations
	1		Does your company have all necessary permits to perform its operations related to Environmental and Social (E&S) aspects? If no please indicate known missing permits.			
	2		Has your company pursued any E&S audits of its operations during the reporting period? If so please indicate if it was by your company's own staff or by using external consultants.			
	3		Have there been any visits or inspections from government authorities in order to assess the company's operations related to E&S aspects?			
Environmental and Social Management Systems		Question no	Question	Yes	No	Comments or explanations
	4		Does your company have a management system in place to manage and monitor the significant aspects of E&S aspects (i.e. ISO 9001, ISO 14001, OHSAS8001, SA8000 or equivalent)? If certified, please submit the certificate. - Certified? - Not certified?			
	5		Does your company have a designated manager or board member specifically responsible for E&S issues? If so, please provide the name of this person. Board level (name): Management level (name): Operational level (name):			
	6		Does your company have an E&S policy (a document showing how the company addresses environmental and social issues in the operation of the business)? If yes, please submit the policy.			
	7		Has your company made a risk assessment on its operations, identifying and documenting the company's environmental and social impact?			
	8		Does your company have a Health and Safety Policy?			
	9		Does your company have a waste management plan?			
	10		Has your company identified any environmental and social targets based on the risk assessment?			
	11		During the reporting period, have there been changes or developments to the Company's ESMS? If so please indicate which E&S policy Health and Safety policy Other			
	12		Has the policy been communicated internally as well as externally?			
	13		Has your company performed any training to reach targets?			
Occupational Health and Safety		Question no	Question	Yes	No	Comments or explanations
	14		Does the company provide drinking water easily accessible and free of charge to all employees?			
	15		Does the company have toilets and washing facilities sufficient in number, according to local standards?			
	16		Is first aid equipment available in the production facilities?			
	17		Does the work environment require personal protective equipment (PPE)? If yes please indicate which type of PPE			
	18		Does your company have an emergency and evacuation plan?			
	19		Does your company have appropriate fire equipment?			
	20		Does your company conduct fire drills? If yes please indicate frequency?			
	21		Does the company have a record of accidents and incidents covering the past two years?			
	22		Please indicate the number of fatalities and serious incidents (incidents causing permanent handicaps or where the person after rehabilitation cannot return to do the same type of work as previously) at your company during the last 12 month period as well as whether they were related to workers health and safety, security, traffic or other and if it was employees/contractors or civilians Health & safety related? Security/arms related? Traffic accident? Other?	Number of Fatalities	Number of Seriously injured	Comments or explanations: indicate if it was employees/contractors or civilians
	23		Please indicate the number of other incidents at your company during the last 12 month period. Fire? Strike? Harassment? Corruption? Fraud? Theft? Law suites? Other?	Number of incidents		Comments or explanations: indicate if it was employees/contractors or civilians
Resource efficiency		Question no	Question	Yes	No	Comments or explanations
	24		Does your company measure its use of water?			
	24		If yes please report water used during the past 12 month period (indicate which months) in the table below.	Consumption (last 12 month period)	Units of measurement	
	25		Does your company have a plan/strategy for water saving? If yes, please briefly describe or submit any relevant document.			
	26		Does your company measure the energy use (electricity, heating/cooling and/or oil)?			
	27		If yes, please report energy used during the past 12 month period in the table below. Include purchased electricity as well as fuels burned on site (e.g. for generators). Measurements can be taken from fuel bills/invoices and similar "paper-trail" records. 1. Electricity (also heating and cooling) 2. Oil (also gasoline or diesel)	Consumption (last 12 month period)	Units of measurement	
	28		Does your company have a plan/strategy for energy saving and conversion to renewable energy sources? If yes, please briefly describe or submit any relevant document.			
	29		Does your company calculate carbon dioxide (CO2) emissions based on travel or energy consumption?			
	30		If yes, please report the amount of carbon dioxide (tonne) calculated for the past 12 month period.	Consumption (last 12 month period)	Units of measurement	

	31	Does your company have a plan/strategy for reducing and/or compensating your company's CO2 emissions? If yes, please briefly describe or submit any relevant document.			
Labor and Working Conditions	Question no	Question	Yes	No	Comments or explanations
	32	Does your company have a Code of Conduct and/or Human Resource Policy (a document giving guidelines of the employee conduct and/or how company handles issues relating to management of human resources, in the operation of the business)? If so please indicate which parts the policy covers. Human Rights Child Rights Human Resources Equal remuneration Non discrimination Disciplinary measures			
	33	Have there been changes or developments in the Company Code of Conduct and/or Human Resource Policy during the reporting period? If so please indicate which parts.			
	34	Does your company have a designated Manager or Board Member specifically responsible for Human Resources or Social issues? If so, please provide the name of this person. Board level (name): Management level (name): Operational level (name):			Name Name Name
	35	Has your company communicated the Code of Conduct and/or Human Resource policy internally?			
	36	Does your company maintain a labour force register including dates of birth for all the employees?			
	37	Does your company directly or indirectly through third party contractors employ anyone under 18, including temporary workers? If yes, please state how many, the person(s) age(s) and type of tasks assigned.			
	38	How old (in years) is the company's youngest employee, including temporary workers? Estimate if not known.			
	39	Do all employees (including temporary workers) have their own individual contract of employment?			
	40	What is the lowest wage paid to an employee of the company? Please indicate currency and h/week/month. Temporary Permanent			
	41	What is the average wage paid to an employee of the company? Please indicate currency and h/week/month. Temporary Permanent			
	42	How many hours per week do full time employees work on average (excluding overtime) ?			
	43	How many hours of overtime per week are permitted by the company for the worker who is allowed the most?			
	44	How does the company compensate employees for overtime (in time off or money)?			
	45	Does the company directly or indirectly through third party contractors employ any forced or bonded labor (e.g. prisoners or assigned by the military)? If so please provide details and numbers.			
	46	Do the employees have the formal right to establish and/or join a union or an equivalent organization? If yes, is there a union and what is the name(s) of the union(s)?			
	47	Do the employees have the right to engage in collective bargaining? (for example, conducting wage negotiations with the company through a council acting on their behalf)? If yes, does this currently happen?			
	48	Has the company taken disciplinary measures against any member of staff for any reason during the reporting year? Please describe.			
	49	Does the company offer employees parental leave? If yes, for how many days?			
	50	How many days have been taken and by how many persons?			
	51	How many women have come back from parental leave and in which work role are they back?			
Supply chain	Question no	Question	Yes	No	Comments or explanations
	52	Does your company use subcontractors in its daily operations? (e.g. cleaners, drivers, catering, security personnel)			
	53	How does your company assess the performance of business partners such as subcontractors and suppliers in respect to environmental and social matters?			
Security	Question no	Question	Yes	No	Comments or explanations
	54	Does your company engage security personnel (either in house or through a security company) to provide security services in its operations?			
	55	If yes, does your company have a Security Policy (a document showing how the company handles issues related to recruitment of security personnel and how the security staff shall interact with clients and stakeholders)?			
	56	Have there been any allegations of unlawful and/or abusive acts by security personnel towards staff, clients or stakeholders?			
	57	Are the security personnel at your company and/or branch offices armed?			
Stakeholder	Question no	Question	Yes	No	Comments or explanations
	58	Does your company have channels for stakeholders (whistle blow or similar) (i.e. employees, customers, suppliers, neighboring community etc.) to report Environmental and/or Social concerns (strikes, spills, court cases, grievances, retrenchments, fraud & corruption etc.)? If yes please explain.			
	59	Does your company regularly conduct stakeholder dialogues?			
	60	Has your company received any complaints or input from stakeholders regarding environmental and social concerns during the reporting period? If yes, please describe.			
	61	Has your company publicly endorsed or signed any national or international agreements or declarations concerning Environmental and Social issues? If yes, please specify below. United Nations Global Compact Global Reporting Initiative			

		Carbon Disclosure Project Other, please specify			
	62	Does your company report publically (E.G. in its Annual Report or in a separate E&S or CSR reports etc.) on its E&S performance and client/portfolio compliance with applicable E&S legislation and standards?			

A. Commitment to Corporate Governance					
	Question no	Question	Yes	No	Comments or explanations
	1	The company has a written code of ethics approved by the Board of Directors.			
	2	The company has a designated officer responsible for ensuring compliance with the company's corporate governance policies and also has a compliance officer responsible for ensuring compliance with its code of ethics.			
	3	The company has a written corporate governance code.			
	4	The company periodically discloses to shareholders its corporate governance code and practices and the extent to which such practices conform to the country's voluntary code of best practices, if applicable.			
B. Structure and Functioning of the Board of Directors					
	Question no	Question	Yes	No	Comments or explanations
	5	The Board includes members who are neither executives of the company and its affiliates, nor controlling shareholders.			
	6	The Board of Directors has an Audit Committee - chaired by an independent Director; - composed of a majority of independent Directors; - includes at least one financial expert; and - all members should be at least financially literate.			
	7	The Board of Directors is composed of a majority of independent Directors.			
	8	The Board has a Nominating Committee.			
	9	The Board has a Compensation Committee.			
	10	The Board of Directors is elected annually.			
C. Control Environment and Processes					
	Question no	Question	Yes	No	Comments or explanations
	11	An adequate internal control system is in place, documented and periodically reviewed by an independent internal audit function.			
	12	The internal control system is in accordance with the highest national standards.			
	13	The company has a comprehensive compliance program that is annually reviewed.			
	14	The internal audit function is independent, overseen by and reports directly to the Audit Committee.			
D. Transparency and Disclosure					
	Question no	Question	Yes	No	Comments or explanations
	15	Financial statements are prepared in accordance with the highest national accounting standards, and audited by a recognized independent external auditing firm.			
	16	The company complies with all disclosure requirements under applicable law, regulations and listing rules (fair disclosure).			
	17	The company prepares and presents all financial statements and reporting in accordance with a widely accepted, internationally recognized system of accounting (IFRS or U.S. GAAP).			
	18	The company's financial statements are audited in accordance with International Standards on Auditing.			
	19	The company discloses information on: Affiliated parties and the affiliation of members of the Board of Directors.			
	20	All disclosure to and communications with shareholders (e.g., materials for the shareholders' meetings, minutes of the most recent meetings etc.) are made available on the internet in a timely fashion.			
	21	The company discloses information on the remuneration of the members of the Board of Directors and senior management.			
	22	The company publishes a comprehensive annual report that includes a corporate governance section.			
	23	The company discloses its beneficial owners.			

E. Rights of Minority Shareholders		Question no	Question	Yes	No	Comments or explanations
	24		All shareholders of the same class are treated equally with respect to voting rights, subscription rights and transfer rights.			
	25		The company has a well understood policy and practice of full and timely disclosure to shareholders of all material transactions with affiliates of the controlling shareholders, directors or management (conflicts of interest).			
	26		The company has a dividend policy which is disclosed to shareholders.			
	27		The company has effective shareholder voting mechanisms in place to protect minority shareholders against unfairly prejudiced actions of controlling shareholders where ownership is especially concentrated or controlling shareholders have strong conflicts of interest (e.g., super-majority or "majority of minority" provisions).			
	28		The company has a system of registering shareholders complaints and effectively regulating corporate disputes.			
Swedfund Strategic Sustainability Goal: Anti-Bribery and Corruption						
	29		Is there an Anti-Bribery and Corruption policy?			
	30		Is there a specific person in charge/responsible for ensuring adherence to the policy?			
	31		Does your company provide training to employees on these matters? (If yes, when did you do so last time and for which positions?)			
	32		Is senior management or the Board informed on an ongoing basis of implementation of the policy?			
	33		Is there internal record keeping of reviews of the policy and consequent reports?			
	34		Is the ABC policy communicated to employees and outside providers of services to the company?			
	35		Has the company confirmed to its employees that they will not be demoted or adversely affected for reporting on suspected bribes and corruption?			
	36		Does the company keep a register for gifts and corporate hospitality both received and given by its staff?			
	37		Are screening procedures carried out on agents, advisers, contractors, intermediaries, and other representatives who supply material goods and services to the company?			
	38		Does the company report on the workings and effectiveness of the ABC policy including the number of reports of bribery and corruption received and a short summary of any investigations into them?			

Employment	Question no	Question	Unit	Response	Comments or explanations
	1	Direct Employment – Operations and Maintenance: Number of full-time equivalent employees as per local definition working for the client company or project at the end of the reporting period. This includes directly hired individuals and individuals hired through third party agencies as long as those individuals provide on-site services related to the operations of the client company. Also, this includes full-time equivalent worked by seasonal, contractual and part time employees. Part-time jobs are converted to full-time equivalent jobs on a pro rata basis, based on local definition (e.g., if working week equals 40 hours, a 24 hr/week job would be equal to 0.6 FTE job). Seasonal or short-term jobs are prorated on the basis of the portion of the reporting period that was worked (e.g., a full-time position for three months would be equal to a 0.25 FTE job if the reporting period is one year). If the information is not available, the rule-of-thumb is two part-time jobs equal a full-time job. <i>Note: employment for the purpose of the construction of the client company's hard assets is not to be included in this indicator. For such jobs, please use the indicator Direct Employment – Construction Phase.</i>	# FTE (Full Time Equivalents)		
	2	Direct Female Employment (see definition above)	# FTE (Full Time Equivalents) Females		
	3	Direct Employment – Construction Phase: Number of full-time equivalent construction workers employed for the construction of the company or project's hard assets during the reporting period. Part-time jobs for construction are converted to full-time equivalent jobs on a pro rata basis, based on local definition (e.g., if working week equals 40 hours, a 24 hr/week job would be equal to 0.6 FTE job; a full-time position for three months would be equal to a 0.25 FTE job if the reporting period is one year). If the information is not available, the rule-of-thumb is two part-time jobs equal a full-time job. <i>Note: employment for the client company's operations and maintenance is not to be included in this indicator. For such jobs, please use the indicator Direct Employment – Operations and Maintenance.</i>	# FTE (Full Time Equivalents)		
	4	Females at Management Positions	#		
	5	Females in Board of Directors	#		
Tax payments	Question no	Question	Unit	Response	Comments or explanations
	6	Taxes / Payment to Government: All transfers to the government made by client company over the reporting period. At a minimum, this includes payments to the government in the form of corporate income or profit taxes. Additional forms of transfer to be reported as appropriate include (i) sales taxes, (ii) net VAT, (iii) royalties, (iv) dividends and related taxes, (v) management and/or concession fees, (vi) license fees, (vii) tax on payment of interest, and (viii) other material payments net of any direct subsidies received.	# currency		
Sector specific	Question no	Question	Unit	response	Comments or explanations
Agribusiness	7	Number of farmers that are linked to the client company as suppliers, buyers, contractors or farming employees during the reporting period	#	n/a	
Agribusiness	8	Unit count (as applicable) and gross value of sales over the reporting period.	# # currency	n/a n/a	
Agribusiness	9	Value of export sales of the product or service over the reporting period.	# currency	n/a	
Education	10	Number of students enrolled at the end the reporting period, both full-time and part-time, where each discrete student is counted regardless of number of courses	#	n/a	
Energy	11	Energy delivered to off-taker(s) during the reporting period. Include footnote about energy type(s).	# GWh	n/a	
Financial Intermediation	12	Number & amount of outstanding microfinance loans (as defined by each IFI) in client company portfolio at the end of the reporting period.	# # currency	n/a n/a	
Financial Intermediation	13	Number & amount of outstanding Loans to SMEs (as defined by each IFI) in client company portfolio at the end of the reporting period.	# # currency	n/a n/a	
Financial Intermediation	14	Number & amount of outstanding housing loans in a client company portfolio at the end of the reporting period. Housing loans include all mortgage instruments issued for the purchase or re-financing of housing.	# # currency	n/a n/a	
PE & Investment Funds	15	Number of investments and volume of invested capital on a cost at investment basis at the end of the reporting period	# # currency	n/a n/a	
PE & Investment Funds	16	Number of full-time equivalent employees as per local definition working for the investor's client company or project at the end of the reporting period. This includes directly hired individuals and individuals hired through third party agencies as long as those individuals provide on-site services related to the operations of the client company. Also, this includes full-time equivalent worked by seasonal, contractual and part time employees. Part-time jobs are converted to full-time equivalent jobs on a pro rata basis, based on local definition (e.g., if working week equals 40 hours, a 24 hr/week job would be equal to 0.6 FTE job). Seasonal or short-term jobs are prorated on the basis of the portion of the reporting period that was worked (e.g., a full-time position for three months would be equal to a 0.25 FTE job if the reporting period is one year). If the information is not available, the rule-of-thumb is two part-time jobs equal a full-time job. <i>Note: employment for the purpose of the construction of the hard assets of an investor's client company is not to be included in this indicator. For such jobs, please use the indicator Investee Direct Employment – Construction Phase.</i>	#	n/a	
PE & Investment Funds	17	Number of full-time equivalent construction workers employed for the construction of the investor's client company or project's hard assets during the reporting period. Part-time jobs for construction are converted to full-time equivalent jobs on a pro rata basis, based on local definition (e.g., if working week equals 40 hours, a 24 hr/week job would be equal to 0.6 FTE job; a full-time position for three months would be equal to a 0.25 FTE job if the reporting period is one year). If the information is not available, the rule-of-thumb is two part-time jobs equal a full-time job. <i>Note: employment for the operations and maintenance of an investor's client company is not to be included in this indicator. For such jobs, please use the indicator Direct Employment – Operations and Maintenance.</i>	#	n/a	
Health	18	Number of patient consultations provided by the client company during the reporting period	#	n/a	
Housing	19	Number of new residential dwellings (≥1 family per unit) constructed by the client company at the end of the reporting period	#	n/a	
Housing	20	Number of residential dwellings (≥1 family per unit) refurbished by the client company at the end of the reporting period	#	n/a	
Information & Communication Technologies	21	Number of mobile subscriptions (GSM, CDMA, BGAN, VSAT, EDGE, UMTS, WiMax, 3G, 4G, LTE, etc.) including voice and/or data at the end of the reporting period. Includes both post-pay and pre-pay subscriptions.	#	n/a	
Information & Communication Technologies	22	Number of fixed data subscriptions (ADSL, Broadband, Fibre, etc.) at the end of the reporting period. Includes both post-pay and pre-pay subscriptions.	#	n/a	

Information & Communication Technologies	23	Number of fixed voice (telephone) subscriptions at the end of the reporting period. Includes both post-pay and pre-pay subscriptions.	#	n/a	
Industries & Services	24	Value of company's purchases of goods and services from domestic suppliers (including raw materials, security, gardening, cleaning and marketing & research from local companies) during the reporting period.	# currency	n/a	
Industries & Services	25	Unit count (as applicable) and gross value of sales over the reporting period.	#	n/a	
Industries & Services	26	Value of export sales of the product or service over the reporting period.	# currency	n/a	
Transportation	27	Twenty foot equivalent units of cargo containers transported through the road/railway/port/airport over the last reporting period.	# TEUs	n/a	
Transportation	28	Tonnes of bulk cargo transported through the road/railway/port/airport over the last reporting period.	# tonnes	n/a	
Transportation	29	Passengers using transportation service over the reporting period	#	n/a	
Waste & Sanitation	30	Amount of waste disposed over the reporting period.	# t	n/a	
Waste & Sanitation	31	Volume of wastewater treated over the reporting period.	# m3	n/a	
Water	32	Volume of potable water produced during the reporting period	# m3	n/a	