



Human Rights Exporter Questions Defence and Security

The following Exporter questions are part of CCC's due diligence process, in line with the *UN Guiding Principles* and *OECD Guidelines*. CCC may elect to carry out further due diligence based upon the responses or risk profile of the project.

Product and/or services

1. Will Canadian export permits or export permits from other jurisdictions be required for the project? (If there are existing permits or previously granted permits, please describe.) *Note: Items that require Canadian or US export permits can be found under the following: [Canada's Export Control List \(ECL\)](#) [The US International Traffic in Arms Regulations \(ITAR\)](#) **The Exporter is responsible for applying for necessary permits.***

2. What are the possible uses of the product and/or services and what is the intended end use? Does the intended or possible uses of the product pose a substantial risk to human rights, particularly to civilian populations?

3. Can the product be modified post-delivery to pose a substantial risk to human rights, particularly to civilian populations?



4. Does the Corporation have representatives on the ground who may have information regarding the use of the product or services during the contract? If so, is this information reported back to the Corporation?

Buyer and End-user

5. Please provide a description of the buyer, end user and their mandates?

6. Has the Corporation undertaken due diligence of the buyer and end-user for human rights risks? (Please describe any risks and mitigation measures identified)

7. Have similar products or services been exported by the Corporation to the buyer/end-user previously? If yes, please describe, including any reports on how the products or services have been used.

Litigation History

8. Has the Corporation, by itself or in partnership, or any of its related corporations, principal shareholder, senior officer or senior management ever been investigated for, been charged with, been found by guilty any court, or been



subject to equivalent civil or administrative penalties for labour rights or human rights violations? If yes, please attach details.

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

Governance

9. List all voluntary corporate responsibility/sustainability standards or initiatives that the Corporation has endorsed, adopted, or joined (e.g., UN Guiding Principles on Business and Human Rights, OECD Guidelines for Multinational Enterprises, UN Global Compact, Equator Principles).

10. Please provide copies of any policies that address the responsibilities and expectations of the Corporation or its directors, officers, employees, agents, suppliers, or business partners with respect to (a) freedom of association, (b) child and forced labour, (c) working time and minimum wage, (d) non-discrimination, (e) health, safety and security, (f) environmental risk management, (g) use of force and/or (h) any other internationally recognized human rights.

11. Does the Corporation have established controls and procedures to oversee and monitor implementation of the above policies? If yes, please attach the details.

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

12. Does the Corporation conduct human rights related training for its employees and/or associated third parties? If yes, please attach the details.

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

13. Does the Corporation conduct due diligence of its supply chain for potential human rights impacts?



Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

Risk Management

14. In the last three years, has the Corporation conducted or commissioned any risk or impact assessments to identify actual or potential adverse human rights impacts with which the Corporation is involved through (i) its own operations, products, or services and/or (ii) the operations, products, or services of suppliers or business partners? If yes, please attach the details.

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

15. Does the Corporation have a process to ensure remediation of human rights impacts, monitor implementation, and improve human rights risk management based on its human rights impact assessments and due diligence findings? If yes, please attach the details.

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

16. Does the Corporation have any formal complaints process(es) or any other grievance mechanism(s) to receive and address human rights-related complaints? If yes, please attach details regarding (i) who can access the mechanism, (ii) the types of complaints it can handle, and (iii) assurances of procedural fairness.

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

Disclosure

17. Does the Corporation report publicly on its human rights governance and performance? If yes, please attach any such reports from the previous three years.

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

Signed, this ____ day of _____, 20__, in _____, Canada.



(Signature)

(Name)

(Title)