

# Annex 1: Questionnaire

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## Questionnaire on the Sustainable Development of Chinese Companies Overseas

### Instruction:

1. Objective of the survey: to understand the status of the overseas sustainable development of Chinese enterprises.

2. Information to be filled out in the questionnaire.

3. Definition of relative concepts

(1) Geographic scope of “Going global”: Foreign countries and China’s Hong Kong, Macao and Taiwan.

(2) Forms of enterprises “going global”: foreign direct investment, setting up overseas branches, investing in factories, setting up R&D centers, establishing science and technology parks, technology investment, cross-border M&A, overseas contracted projects, overseas labor cooperation (pure product export excluded).

(3) Corporate Sustainable Development: When pursuing self-survival and continuous development, an enterprise should consider both the realization of business goals and enhance its market position. To ensure its prosperity in a rather long time, an enterprise is supposed to keep profitable growth and capacity building in the field where it has already been leading and in future business expansion. An enterprise need to focus on the sustainability of economic, corporate governance, environmental and social issues if it wants to achieve its own sustainable development.

4. Requirements

(1) The questionnaire should be filled out by responsible person for overseas business.

(2) To ensure the validity and integrity of the results, please answer all questions faithfully. If you do not have some of the indexes, please fill in “N/A”.

5. Privacy statement: All your answers will be kept confidential and used only for this research.

### Information and contact details of the filling person

Name of the enterprise: \_\_\_\_\_

Name of the filling person: \_\_\_\_\_

Department: \_\_\_\_\_ Position: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

Email: \_\_\_\_\_

Enterprise webpage: \_\_\_\_\_

Date of filling: \_\_\_\_\_



Please answer the following questions based on the practical situation of the industry/enterprise and your own experience.

**Instruction:**

Please write on “\_\_\_\_\_” and check on “”.

**Questionnaire**

**Part I Basic Information**

① Type of the company (parent company)

- State-Owned  Private-Owned

② Scale of overseas investment

- Below 1,000,000 USD  1,000,000-5,000,000 USD  
 5,000,000-10,000,000 USD  10,000,000-50,000,000 USD  
 50,000,000-100,000,000 USD  Over 100,000,000 USD

③ The industry it belongs to: (Main business)

- Manufacturing  
 Agriculture, Forestry, Fishery, Animal Husbandry  
 Mining  Real Estate  
 Leasing and commercial services  ICT  
 Wholesale and retail  Accommodation, Tourism, Catering  
 Sports and Entertainment  
 Production and Supply of electricity, heat, gas and water  
 Construction  Financial Service  
 Water, environmental, public facilities management  
 Residential Service, Repairing Service  
 Traffic, Transportation, Storage, Postal Service  
 Scientific Research, Technical Service  New and Renewable Energy  
 Others (*please specify*): \_\_\_\_\_

④ The areas that overseas branches belong to (you may choose more than one option)

- Europe  North America  South America  
 Oceania  Asia  Africa (*please specify*): \_\_\_\_\_

⑤ The importance of company’s business in above areas/countries

- High  Average  Low





⑥ Forms of cooperation and overseas investments (you may choose more than one option)

- Greenfield Investment
- Overseas M&A
- Engineering Contract
- Labor Service Export

⑦ For how long has the company have business overseas:

- Over 10 years
- 5-10 years
- 3-5 years
- Less than 3 years

⑧ Structure of overseas employee:

The total number of overseas employee is \_\_\_\_\_, among which the number of female employee is \_\_\_\_\_;

The age of overseas employee range from \_\_\_\_\_ to \_\_\_\_\_;

The number of local employee in the senior management team (department manager and above) is \_\_\_\_\_.

## Part II Corporate Governance

### 1. Risk Management Mechanism

① What are some of the jobs you have done to establish the frame for overseas risk management system? (You can choose more than one option.)

- Build up organizational system for risk management
- Establish standard risk assessment system
- Establish risk warning system
- Establish controlling mechanism for emergent risks
- Cultivate corporate culture of risk management
- Others (please specify): \_\_\_\_\_

② What are the major actions you take for risk precaution in the past three years?

(You can choose more than one option.)

- Enact relevant articles of incorporation for risk precaution
- Establish special organization for risk precaution and appoint relative personnel
- Set up special fund for risk precaution
- Enact contingency plan and have regular practices
- Establish risk warning and tracking system
- Keep regular communications with stakeholders
- Hire professional third party institutions to evaluate the risks and social impact of projects
- Give training to employees on local culture, language, safety, anti-corruption etc. before sending them overseas

- Others (please specify): \_\_\_\_\_





③ What are the risks your company is facing in its overseas operation? (You can choose more than one option.)

Main risks the company is facing in its overseas operation (The options have been set into 5 scales with "1" referring to "the risk is very low" and "5" referring to "the risk is very high")	1	2	3	4	5
Corruption					
Political situation					
Labor issues					
Community issues					
Environmental issues					
Employee safety					
Local prices and inflation					
Infectious diseases					
Others					

**2. CSR Management Mechanism**

① How do you perceive the relationship between corporate development and social responsibility? (You can choose more than one option.)

- Corporate development is to pursue the maximum profit and it has little to do with social responsibility.
- For sake of its own development, enterprises can ignore social responsibility when necessary.
- Enterprises must fulfill social responsibility in pursuit of its own development
- Fulfilling social responsibility can enhance the company’s development and competitiveness

② What are the fundamental driving forces for your overseas branches to perform social responsibility? (You can choose more than one option.)

- Requirements of the headquarter
- Local culture and management philosophy as driving forces
- Requirements of local government
- Requirements of local community
- Pressure from the demand of employees, consumers, media, the public and other stakeholders
- Contract with or requirements of business partners
- Others (please specify): \_\_\_\_\_

③ Have you built CSR management mechanism specifically for overseas businesses?

- Yes, it works well and we have dedicated departments and personnel.





- Yes but it doesn't work very well and we have not dedicated departments and personnel.
- No but we plan to build one.
- No and we don't have any plan about that.

④ Do you release overseas CSR report?

- Yes, we release a separate overseas CSR report annually.
- Yes, we release a separate overseas CSR report regularly.
- CSR performance of overseas operation is included in the company's annual CSR report.
- We haven't released information on overseas CSR performance in any form.

⑤ Has your company been awarded any prize or honor in CSR?

- Yes. *(please specify)*: \_\_\_\_\_
- No.

⑥ How good is your overseas branches' CSR performance in host countries?

- Excellent and it can play a promoting role in fulfilling social responsibility.
- Good and there are some good practices in CSR performance.
- Fair and there's no typical positive or negative case.
- Poor and there have been some negative cases.

⑦ What are some restraints for your overseas branches to fulfill social responsibility?

(You can choose more than one option.)

Restraints impeding the performance of CSR <i>(The options have been set into 5 scales with "1" referring to "strongly disagree" and "5" referring to "strongly agree")</i>	1	2	3	4	5
Senior executives lack CSR awareness and comprehensive understanding of CSR					
Companies have operational difficulties and could not afford CSR deeds					
Companies lack of support from professional organizations and personnel, thus lack of theoretical and practical support					
There's no uniform requirement or regulation from the headquarter					
There's little pressure from local stakeholders in the host country					
The company hasn't established rewards and punishments system on environment and society for the heads of overseas business.					
Others					





### 3. Stakeholders Engagement

① How do you evaluate the importance of stakeholders in the host country?

Importance of stakeholders in your opinion (The options have been set into 5 scales with "1" referring to "the least important" and "5" referring to "the most important")	1	2	3	4	5
Shareholders (Investors)					
Clients					
Suppliers					
Government of the host country					
Chinese government agencies to local resident					
Employees					
Local communities					
Media					
International organizations (UN agencies in the host country)					
NGOs					
Industry associates					
Competitors					
Financial institutions					

### 4. Internationalized Management

① What is your knowledge on concepts relating to sustainable development?

Your knowledge on concepts relating to sustainable development (The options have been set into 3 scales with "1" referring to "very familiar", "2" referring to "basically familiar" and "3" referring to "not familiar")	1	2	3
Corporate Citizenship			
Stakeholder Theory			
Triple Bottom Line (Economic, Environmental and Social)			
UN Millennium Development Goals and Global Sustainable Development Goals			
The United Nations Global Compact			
ISO26000			
Global Report Initiative (GRI)			

② Do you comply with any international standards or guidance on sustainable development/CSR?

If yes, please list them (e.g. ISO, GRI). \_\_\_\_\_

No, because the local government doesn't have such request.





No, because there's no such plan in the company's strategy.

③ Are there any externally developed economic, environmental and social charters, principles or other initiatives to which your company subscribes or which it endorses?

If yes, please list them (e.g. UNGC, WBCSD, Equator Principles).

No, because the local government doesn't have such request.

No, because there's no such plan in the company's strategy.

④ In terms of the company management systems mentioned above, which systems are established especially for the overseas operation? (You may choose more than one option)

Risk management system

Corporate Social Responsibility management system

Communication mechanism for stakeholders

Internationalization management

### Part III Economy

#### 1. "Going global" Strategy

① The degree to which your company has worked with financial institutions

A. The degree to which your company has worked with domestic financial institutions

Close

Average

There is no such cooperation.

B. The degree to which your company has worked with foreign financial institutions

Close

Average

There is no such cooperation.

② How do you deal with the development strategies, policies and regulations in host countries?

We include them into corporate development strategy and link them closely with our operation

We attach some importance to them and use them as references.

We occasionally consider them according to our operation.

Those have little to do with the corporate development and we seldom pay attention to them.

③ What are the main technical transfer methods during the enterprises' external investment cooperation? (You may choose more than one option.)

Transfer the techniques through technology investment and subsidiaries establishment

Exchange the techniques with developed countries

Transfer the successful technologies to developing countries

Transfer whole sets of equipment for technology or capital intensive industries

Others (*please specify*): \_\_\_\_\_

④ How is your overseas branches' innovation and R&D ability in the host countries?

Leading

Good

Average

Below average





**2. Compliance**

① Have your overseas branches established system in the following aspects? ( you may choose more than one option)

- Honest operation       Anti-corruption       Anti-commercial bribery
- Fair competition       Others (*please specify*): \_\_\_\_\_

② Has your company been investigated in the host countries due to breach of local laws and regulations on investment, taxation, employment, environmental protection or intellectual property?

- No                               Yes it happened once               Yes, it happened more than once

③ Has your company been investigated due to commercial bribery or other corruption?

- No                               Yes it happened once               Yes it happened more than once

**3. Localization**

① What are the purchasing channels for your company’s overseas business?

- Purchase internally from China
- Purchase externally from China
- Purchase from host countries
- Purchase from a third country
- Others (*please specify*): \_\_\_\_\_

② If possible, do you prefer to purchase products and services from where the project takes place in order to be more localized?

- If yes, please specify on the percentage of local purchase. \_\_\_\_\_
- No.

③ In the process of purchase localization, have you enacted regulations or methodologies to assess the sustainability or CSR performance of suppliers from the host countries?

- Yes, we have and they’ve been implemented.
- Yes, we have but they haven’t been implemented.
- No, we haven’t but are planning on that.
- No, we haven’t and there’s no plan about that in the near future.

④ To what degree has your company assisted suppliers and subcontractors in improving their technology and management in the recent three years?

- Good                               Fair                               Not at all

⑤ What are the difficulties your company has encountered when building overseas marketing network? (You can choose more than one option)

- Lack of comprehensive understanding of overseas target market where the risk is high
- Lack of experience on multinational management



- Construction of overseas marketing network is too costly
- Culture and language gap
- Lack of experience in quality management of overseas product
- Enterprises suffer funds shortage and have poor financing channels
- Others (*please specify*): \_\_\_\_\_

**4. Market Competition**

- ① In the past three years, who are your company’s primary competitors in overseas operation in host countries?
- Chinese enterprises       Multinational corporations based in other countries
  - Local companies

**5. Income from Operation**

- ① How profitable are your overseas investment cooperation projects?
- Very profitable       Profitable       Even       Temporarily in loss

**\*For contracting enterprises only**

- ② Owner’s Return:
- When carrying out contracting projects according to the design and standard of the owner, will you recommend a higher standard if the one of the owners is lower than that of China or your own?
- Yes       No

**Part IV Environmental**

**1. Compliance**

- ① What is your knowledge about the environmental laws and regulations in relation to your own industry in the host county?
- Very familiar       Familiar       Less familiar       Not familiar
- ② What is your knowledge about the environmental laws, regulations and guidance in relation to the overseas investments and cooperation which are enacted by the Chinese government?
- Very familiar       Familiar       Less familiar       Not familiar
- ③ In the past three years, how many times does your company have disputes caused by the environmental problems during the production process in the host country?
- None       Once       More than once
- ④ In the past three years, how many times has your company been investigated or reported regarding the environmental pollution by the local NGO or media in the host country?



- None                       Once                       More than once

**2. Environmental Management System**

① Has the third party environmental impact assessment been implemented prior to the overseas investment project? What’s the result?

- Yes, no suggestions for improvement have been provided.  
 Yes, suggestions provided and are being progressively implemented.  
 Yes, suggestions provided and have been implemented thoroughly.  
 No.

② The description about the environmental management in the host country

The description about the environmental management in the host country (The options have been set into 5 scales with “1” referring to “the least consistent” and “5” referring to “the most consistent”)	1	2	3	4	5
The strategic goal of the environmental management has been formulated in detail in the management plan in the host country					
The standard of environmental management system has been set and the third party verification has been passed (ISO14001)					
The environmental management report would be published regularly by the company					
The internal environmental management report would be disclosed regularly by the company					
The environmental risks occurred during the production process would be evaluated regularly by the company					
A complete environmental risk emergency plan has been made					
The company regularly engages the third party to implement the environmental management assessment and has gained remarkable effects					
The environmental goal has been included in the annual remuneration index of senior managers					
The environmental strategic goal has been promoted by a particular department					
The life cycle assessment of the environment has been included in the products by the company					
Environmental-friendly products have been invested by the company to minimize environmental impacts					
The pollution-control equipment has been bought and installed to reduce emissions					
The high energy-consuming equipment has been updated to reduce energy consumption					





**3. Energy Consumption (for the manufacturing enterprises only)**

- ① Has your company enact and implement relevant measures of energy efficiency management and energy conservation for the overseas operation?
- Yes, the production cost has been saved
  - Yes, but temporarily haven't seen the effect of cost-efficiency
  - No.

**4. Exhaust, sewage dispose and waste management (for the manufacturing enterprises only)**

- ① Has your company enacted and implemented any relevant measures of waste and poisoned waste disposal in the overseas operation?
- Yes, no relevant environmental accidents happened in the past three years.
  - Yes, but relevant environmental accidents happened in the past three years.
  - No.

**5. Biodiversity**

- ① To what extent that the local biodiversity protection has been affected by your company's overseas operation?
- Serious                       A little                       None
- ② The implemented measures of biodiversity protection in the company's overseas operation:
- Participate in the local environmental ecological system
  - Support the species' ex situ conservation
  - Assist to build biological gene pool
  - Promote to construct the legal system for biodiversity
  - Others (*please specify*): \_\_\_\_\_

**Part V      Social**

**1. Compliance**

- ① Has your company invited the third party to implement the social influence assessment before launching the project?
- Yes, no suggestion for improvement have been provided.
  - Yes, suggestions provided and are being progressively implemented.
  - Yes, suggestions have been provided and implemented thoroughly.
  - No.

**2. Industrial Relation**

- ① The major labor problems that your company has encountered overseas.





The major labor problems that your company has encountered overseas	Evident	Average	Less Evident
Disputes on labor relations contract			
Guarantee on Labor rights problem			
Lack of experience on working with Labor Union			
Occupational health and safety			
Training and education			
Disagreement on payment and welfare			
Disputes on work injury compensation			
Strikes			
Cultural gap			
Learn and respect local customs			

② In terms of the harmonious labor relations, the company's opinion:

Opinions on building the harmonious labor relation (The options have been set into 5 scales with "1" referring to "the least important" and "5" referring to "the most important")	1	2	3	4	5
Obey local laws and regulations on labor employment					
Enhance the integration of Chinese and local employees					
Increase the portion of local employees in the management team					
Get familiar with the function of local labor organizations and build well-functioned communication mechanism					
Provide more promotion opportunities for local employees					
Learn and respect local culture and customs					
Learn from the management experience of other multinational corporations					
Provide more training for local employees					

③ Have your overseas branches established equal employment system for Chinese and foreign employees? (You can choose more than one option.)

- Have established equal employment system for the recruiting process
- Have established equal employment system for training and promotion
- Have established equal employment system for remuneration and welfare

④ Have your overseas branches established management system for employees' occupational health and safety?

- Have established extremely sound management system for occupational health and put an end





- to occupational disease.
  - Have established basically sound management system for occupational health and could control occupational diseases.
  - Is establishing the management system for occupational health.
  - Haven't established the management system for occupational health.
- ⑤ Have your overseas branches established the management system for safety production?
- Have established extremely sound management system for safety production and put an end to security incidents.
  - Have established basically sound management system for safety production and ensure the security incidents index reach the standard.
  - Is establishing the management system for safety production.
  - Haven't established the management system for safety production.
- ⑥ What kinds of measures have been taken by your overseas branches to guarantee employees' salary and welfare? (You can choose more than one option.)
- Complete management system for remuneration
  - Sound incentive system
  - Never delay the wage payment
  - Pay overtime according to law
  - Offer paid leave
  - Others (*please specify*): \_\_\_\_\_

**3. Local Community Engagement**

- ① What are the main reasons for the community problems your company has come across overseas? (Choose the top three)
- Influences caused by business operation on native populations
  - Not familiar with local culture and customs
  - Lack of communication and interaction with local community residents
  - Disputes on rights and interests caused by land expropriation and other problems
  - Misunderstanding and conflicts between Chinese employees and local residents because of culture difference
  - Local residents' misunderstanding towards Chinese enterprises because of political factors
  - Media's negative reports
  - Others (*please specify*): \_\_\_\_\_
- ② What are the experiences you get on building harmonious community relations? (Choose the top three)
- Learn more about local community problems and potential risks when making investment decisions
  - Enhance communication with local community stakeholders (government, NGOs, residents





and so on)

- Strengthen interaction with community residents and actively integrate into the local society
- Invest more on the public good of local community to build good image and reputation for enterprise
- Increase the portion of employees from local community
- Increase the transparency of corporate activities and foster good corporate brand and culture through media
- Gain more effective results on the sustainable development through cooperating with the stakeholders (including other enterprises)
- Others (*please specify*): \_\_\_\_\_

#### 4. Social Welfare Contributions

- ① In what forms has your company contributed to the development of local society in the host countries? (Choose the top three)
- Help to build hospitals, schools and government buildings
  - Participate in local infrastructure construction
  - Launch philanthropic projects especially for local vulnerable groups
  - Culture exchange
  - Sponsor local students to study in China
  - Support local government officials to learn in China on development experience
  - Develop occupational skills trainings specific to local residents
  - Launch community anti-poverty projects together with local NGOs or UN institutions
  - Post-disaster emergent rescue
  - Launch ecology and environment protection projects in local area
  - Others (*please specify*): \_\_\_\_\_
- ② Have your overseas branches established the donation management system for the host country?
- Have established perfect donation management system
  - Have established but still need to be improved
  - Is establishing the relevant management system
  - Have not established and have no plan temporarily
- ③ The overseas branches participate in the donation projects:
- Only financial donation to the local communities, but not responsible for the donation effect.
  - The company is responsible for organizing and donating, and keep an eye on the donation effect.
  - Financial donating to international organizations or local NGOs, but not responsible for the donation effect.
  - Cooperate with international organizations or local NGOs to establish the donation project, and keep an eye on the donation effect.





Other (*please specify*): \_\_\_\_\_

④ What are the experiences you get on launching social good projects overseas? (Choose the top three)

- Some aid projects didn't meet actual needs because of poor communication and plan.
- Because investment on social good is not continuous and systematic, it has limited effect on fostering enterprises' brand overseas.
- Enterprises lack of professional partners that has great impact locally to assist them in planning and implementing social good projects more professionally.
- Lacking the experience in working with international media thus, Chinese enterprises couldn't advertise their positive contribution to the investment destination objectively.
- Others (*please specify*): \_\_\_\_\_

