

BMW
GROUP



ROLLS-ROYCE
MOTOR CARS LTD



THE SELF-ASSESSMENT QUESTIONNAIRE FOR SUPPLIERS. BMW GROUP EVALUATION OF THE SAQ.

BASED ON THE SAQ 5.0 (SELF-ASSESSMENT QUESTIONNAIRE).

AGENDA: OEM-OVERALL SELF-ASSESSMENT QUESTIONNAIRE.

- (1) The Self-Assessment Questionnaire
- (2) Significance of SAQ 5.0 status (BMW Group traffic light)
- (3) Questionnaire process overview
- (4) BMW Group requirements
- (5) Helpful links and contacts



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THE SUSTAINABILITY QUESTIONNAIRE IS A SELF-ASSESSMENT FOR SUPPLIERS AND A BASIS FOR EVALUATING SUSTAINABILITY REQUIREMENTS.



- The “Drive Sustainability” initiative's sustainability questionnaire is a self-report for suppliers on the environmental, social and compliance-/ governance-related aspects of their business activities.
- This is a standardized instrument that is used by various OEMs and Tier 1 suppliers.
- The BMW Group uses the questionnaire to individually assess the sustainability performance of suppliers.
- This is used to review the requirements of the sustainability standard for the supplier network (Supplier Code of Conduct), whose compliance is contractually enshrined in the International Purchasing Conditions (IPC) in direct purchasing and the General Contract Terms (GTC) for indirect purchasing.
- The evaluation result is **relevant to public procurement**.

The following topics are covered in question groups:

 A. Company Management

 B. Human Rights and Working Conditions

 C. Health and Safety

 D. Business Ethics

 E. Environment

 F. Responsible Supply Chain Management

 G. Responsible Sourcing of Raw Materials

 H. Additional Information

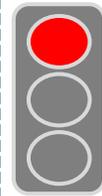
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THE SUSTAINABILITY STATUS OF A SUPPLIER LOCATION IS BASED ON A BMW GROUP-SPECIFIC EVALUATION LOGIC OF THE SAQ (TRAFFIC LIGHT SYSTEM).

- The BMW Group's specific evaluation logic of the Self-Assessment Questionnaire (traffic light system) is explained below.
- Please note that for antitrust reasons, OEMs are not allowed to assess the joint Self-Assessment Questionnaire uniformly.
- For this reason, the Supplier Assurance* platform only shows an indicative rating for the questionnaire.
- The questions that are decisive for the evaluation logic (traffic light system) are marked accordingly in the online questionnaire on the Supplier Assurance platform.
- All other questions are monitored in the BMW Group systems so that they can also be evaluated.
- The completed questionnaire is finally evaluated by the BMW Group and presented in the supplier database.
- The result resulting from traffic light system is described on the right and is based on BMW Group-specific requirements.



- Supplier failure to meet BMW Group specific requirements
- No target date agreed with buyer



→ **Assignment not allowed**



- Failure to comply with BMW Group specific Requirements from the supplier
- Target date has been agreed with the buyer and confirmed in the supplier database



Due dates

→ **Assignment permitted with restrictions**



- Meeting the specific requirements of BMW Group by the supplier
- No further action is required with regard to corrective action



→ **Assignment permitted without restriction**

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SUPPLIERS REGISTER ON THE SUPPLIER ASSURANCE PLATFORM TO FILL OUT THE SAQ AND SHARE IT WITH THE BMW GROUP.

1

The BMW Group buyer is calling for a new SAQ via LDB* for a location relevant to public procurement.

2

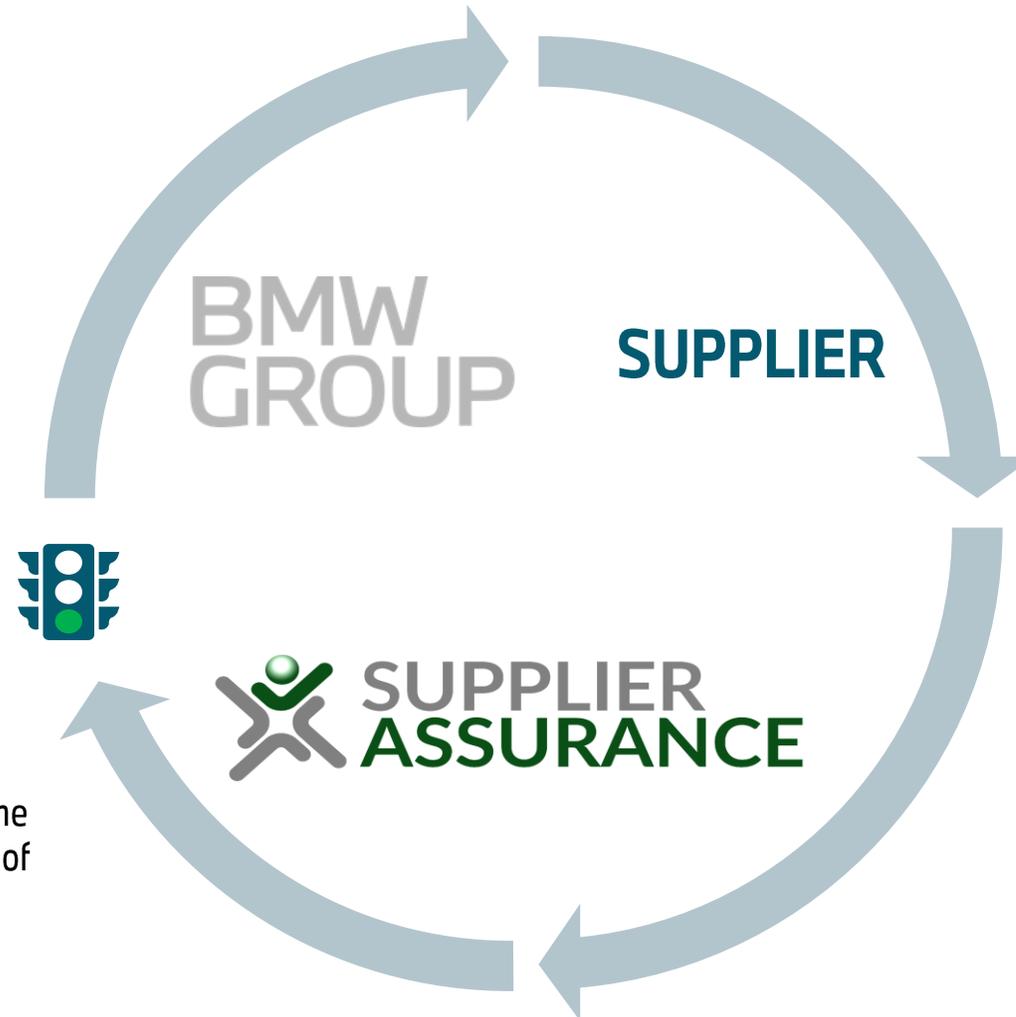
The supplier fills out the questionnaire on the external Supplier Assurance platform and shares it with the BMW Group.

4

The result of Supplier Assurance is sent to LDB via an interface in which the BMW Group makes a specific evaluation of the questionnaire. The final result with the final traffic light is available in LDB.

3

Supplier Assurance validates the questionnaire documents and certificates. The result of the verification is visible on the platform.



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SUSTAINABILITY REQUIREMENTS FOR BMW GROUP SUPPLIERS. PRESENTATION ON THE SUPPLIER ASSURANCE PLATFORM.



Home > Dashboard > SAQ 5.0 ---

SAQ 5.0 **RESPONDING**

1 0. Profile Details

2

The questions relevant to BMW are displayed on the following pages of the questionnaire on the Supplier Assurance platform at the bottom of each page.

1

By entering the number of employees for the entire company and categorizing the company's business area as part of the profile questionnaire on the Supplier Assurance platform, the sustainability requirements of the BMW Group are defined.

2

▼ BMW Requirements

The following questions on this page will impact your BMW rating:

- 1
- 1a
- 1b
- 1c
- 1d

REQUIREMENTS FOR BMW GROUP SUPPLIERS. SAQ VERSION 5.0 (SLIDE I/IV).

Q. Nr.	Requirement	Employees*
A COMPANY MANAGEMENT (GENERAL)		
1	Senior management representation for environmental, social, ethics or human rights	≥ 500
1a-c	Management person responsible for social sustainability, for Compliance/Business Ethics and for environmental sustainability	≥ 500
1d	Person to monitor sustainability risk management (e.g. a Human Rights Officer) **	≥ 500
2	Publish CSR-/ sustainability report	≥ 500
3	Code of conduct	≥ 500
B HUMAN RIGHTS AND WORKING CONDITIONS		
5	Policy on working conditions and human rights	≥ 50
5a	Covered areas by this policy: <ul style="list-style-type: none"> ▪ Child labour and young workers ▪ Wages and benefits ▪ Working hours ▪ Modern slavery (i.e. slavery, servitude and forced or compulsory labour and human trafficking) ▪ Freedom of association and collective bargaining ▪ Non-discrimination and harassment ▪ Women's Rights ▪ Diversity, Equity, and Inclusion ▪ Land, Forest and Water Rights and Forced Eviction 	≥ 50

REQUIREMENTS FOR BMW GROUP SUPPLIERS. SAQ VERSION 5.0(SLIDE II/IV).

Q. Nr.	Requirement	Employees*
5b	Training for your employees on the Policy of working conditions and human rights **	≥ 50
C HEALTH AND SAFETY		
7	Health and safety policy	≥ 50
8	Certified health and safety management system according to ISO 45001 or similar	≥ 500
D BUSINESS ETHICS		
9	Policy on business ethics **	≥ 50
E ENVOIRNMENT		
10	Policy on environment	≥ 50
10b	Training for your employees on the Policy **	≥ 50
11	Certified environmental management system	≥ 50
16	Substances with restrictions **	≥ 500
16a	Written procedures to manage substances with restrictions under any regulations **	≥ 500

REQUIREMENTS FOR BMW GROUP SUPPLIERS. SAQ VERSION 5.0 (SLIDE III/IV).

Q. Nr.	Requirement	Employees*
F RESPONSIBLE SUPPLY CHAIN MANAGEMENT		
18	CSR/ sustainability requirements for suppliers	≥ 100
18a	<p>Human rights and working conditions</p> <ul style="list-style-type: none"> • Child labour and young workers • Wages and benefits • Working hours • Modern slavery (i.e. slavery, servitude and forced or compulsory labour and human trafficking) • Freedom of association and collective bargaining • Non-discrimination and harassment • Women's Rights ** • Diversity, Equity, and Inclusion ** • Rights of Minorities and Indigenous Peoples ** • Land, Forest and Water Rights and Forced Eviction ** <p>Health and safety</p> <ul style="list-style-type: none"> • Health and safety <p>Business ethics</p> <ul style="list-style-type: none"> • Anti-Corruption and Anti-Money Laundering ** • Data Protection and Data Security ** • Financial responsibility (Accurate Records) ** • Disclosure of Information ** • Fair competition and anti-trust ** • Conflicts of interest ** • Counterfeit parts ** 	≥ 100

REQUIREMENTS FOR BMW GROUP SUPPLIERS. SAQ VERSION 5.0(SLIDE IV/IV).

Q. Nr.	Requirement	Employees*
18a	<ul style="list-style-type: none"> • Intellectual property ** • Export controls and economic sanctions ** • Whistleblowing and protection against retaliation** <p>Environment</p> <ul style="list-style-type: none"> • GHG emissions reporting • Energy efficiency • Renewable energy • Water quality, consumption & management • Air quality • Responsible chemical management • Sustainable resources management • Waste reduction • Biodiversity, land use and deforestation ** • Soil quality ** 	≥ 100
18b	<p>Which areas are covered by these CSR/Sustainability requirements? **</p> <ul style="list-style-type: none"> • Included in Terms and Conditions • Supplier training • Supplier Code of Conduct/ Supplier Sustainability Policy • Company website/ Supplier portal 	≥ 100



Depending on the supplier's business activities, individual questions are not relevant and are automatically hidden in the SAQ. Accordingly, these questions have no influence on BMW's sustainability assessment. The business activity is specified at the beginning of the questionnaire.

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DO YOU NEED HELP?

YOUR CONTACTS AT BMW GROUP AND SUPPLIER ASSURANCE.

If you have any questions about **sustainability requirements** for BMW Group suppliers and the **BMW Group-specific assessment** as part of the award process, please contact your BMW Group buyers or the Sustainable Supply Chain Management (SSCM) team.

- General information for suppliers on the Internet:
<https://www.bmwgroup.com/en/sustainability.html>
(Heading: Environmental and Social Standards)
- SAQ Toolbox from Drive Sustainability for suppliers:
<https://www.drivesustainability.org/saq-toolbox>
- Email:
sscm@bmw.de

If you have technical questions about the **questionnaire process**, the **Supplier Assurance platform** and **content issues**, such as definitions of individual requirements, please contact our service provider directly.

- Help and support online:
<https://supplierassurance.com/help>
- Live-Chat und contact form:
<https://supplierassurance.com/contact>
- Telefon:
+44 (0) 161 413 7983 (multilingual)