

**BMW
GROUP**



ROLLS-ROYCE
MOTOR CARS LTD



ONLINE-ASSESSMENT 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 BASIS FOR THE EVALUATION OF 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.
- It 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.
- The questionnaire is necessary 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 for the nomination process**.

The sustainability questionnaire contains the following topics:

 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 EVALUATION LOGIC OF THE SAQ (TRAFFIC LIGHT SYSTEM).

- The BMW Group's 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 common 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 shown in the supplier database.
- The evaluation resulting from traffic light system is described on the right and is based on BMW Group requirements.



- Non-compliance of supplier regarding BMW Group requirements
- No due dates agreed with buyer



→ **Nomination not allowed**



- Non-compliance of supplier regarding BMW Group requirements
- Due date has been agreed with the buyer and confirmed in the supplier database



Due dates

→ **Nomination permitted with restriction**



- Compliance of supplier regarding BMW Group requirements
- No further action need for corrective actions



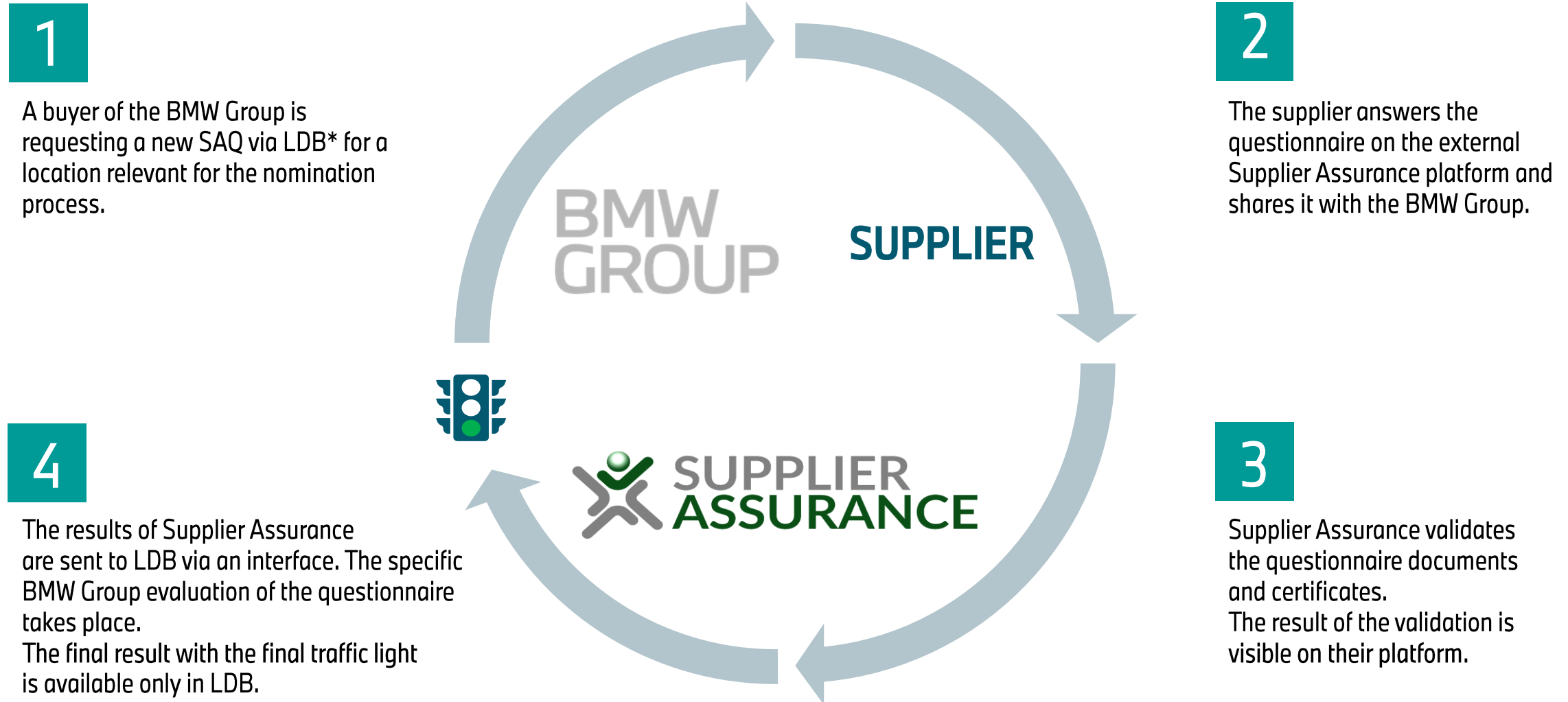
→ **Nomination permitted without restriction**

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



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



Home > Dashboard > SAQ 5.0 ---

SAQ 5.0 **RESPONDING**

1 0. Profile Details

2

The questions which are relevant for the BMW Group are displayed at the bottom of each of the following pages of the questionnaire on the Supplier Assurance Platform.

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

SUSTAINABILITY REQUIREMENTS FOR BMW GROUP SUPPLIERS. SAQ VERSION 5.0, MODULAR (PAGE I/IV).

Q. Nr.	Requirements	Employees*	Supplier
A COMPANY MANAGEMENT (GENERAL)			
1a	Management person responsible for social sustainability	≥ 500	all
1b	Management person responsible for Compliance/Business Ethics	≥ 500	all
1c	Management person responsible for environmental sustainability	≥ 500	production
1d	Person to monitor sustainability risk management (e.g. a Human Rights Officer)	≥ 1000	all
2	Publish CSR-/ sustainability report	≥ 1000	all
3	Code of conduct	≥ 500	all
B HUMAN RIGHTS AND WORKING CONDITIONS			
5	Policy on working conditions and human rights	≥ 50	all
5a	Covered areas by this policy: <ul style="list-style-type: none"> ▪ Non-discrimination and harassment ▪ Women's Rights 	≥ 50	all
5b	Training for your employees on the Policy of working conditions and human rights	≥ 50	all
C HEALTH AND SAFETY			
7	Health and safety policy	≥ 50	all
8	Certified health and safety management system according to ISO 45001 or similar	≥ 500 (Site)	all

SUSTAINABILITY REQUIREMENTS FOR BMW GROUP SUPPLIERS. SAQ VERSION 5.0, MODULAR (PAGE II/IV).

Q. Nr.	Requirements	Employees*	Supplier
D BUSINESS ETHICS			
9	Policy on business ethics	≥ 50	all
E ENVIRONMENT			
10	Policy on environment	≥ 50	production
10b	Training for your employees on the Policy	≥ 50	production
11	Certified environmental management system (ISO 14001 or comparable)	≥ 50	production
16	Substances with restrictions	≥ 500	production
16a	Written procedures to manage substances with restrictions under any regulations	≥ 500	production
F RESPONSIBLE SUPPLY CHAIN MANAGEMENT			
18	CSR/ sustainability requirements for suppliers	≥ 100	all
18a	Human rights and working conditions <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 	≥ 100	all

SUSTAINABILITY REQUIREMENTS FOR BMW GROUP SUPPLIERS. SAQ VERSION 5.0, MODULAR (PAGE III/IV).

Q. Nr.	Requirements	Employees*	Supplier
F RESPONSIBLE SUPPLY CHAIN MANAGEMENT			
18a	<p>Human rights and working conditions</p> <ul style="list-style-type: none"> • Women's Rights • Diversity, Equity, and Inclusion <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) • Fair competition and anti-trust • Export controls and economic sanctions <p>Supply Chain</p> <ul style="list-style-type: none"> • Definition and implementation of similar standards vis-à-vis own Tier 1 suppliers • Binding requirements for Tier 1 suppliers to pass on standards along the supply chain 	≥ 100	all
18a	<p>Human rights and working conditions</p> <ul style="list-style-type: none"> • Rights of Minorities and Indigenous Peoples • Land, Forest and Water Rights and Forced Eviction • Use of private or public security forces 	≥ 1000	production

SUSTAINABILITY REQUIREMENTS FOR BMW GROUP SUPPLIERS. SAQ VERSION 5.0, MODULAR (PAGE IV/IV).

Q. Nr.	Requirements	Employees*	Supplier
18a	Environment <ul style="list-style-type: none"> • GHG emissions reporting • Energy efficiency • Renewable energy • Decarbonisation • Water quality, consumption & management • Sustainable resources management • Waste reduction 	≥ 1000	all
18a	<ul style="list-style-type: none"> • Air quality • Biodiversity, land use and deforestation • Soil quality • Reuse and recycling • Responsible chemical management 	≥ 1000	production
18b	Communication channels for CSR/sustainability requirements to suppliers <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	all



Depending on the business activities and industry of the supplier, certain questions may not be relevant. These questions therefore have no influence on the BMW sustainability assessment. The business activities and industry (NACE code) are indicated 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 regarding **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)
- Drive Sustainability SAQ Toolbox for suppliers:
<https://www.drivesustainability.org/saq-toolbox>
- Email:
sscm@bmw.de

If you have technical questions about the **questionnaire process**, as well as the **Supplier Assurance Platform** and for questions regarding **content**, 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>
- Phone:
+44 (0) 161 413 7983 (multilingual)