

## Supplier Self-Assessment

Dear supplier,

by following questionnaire, we would like to ask you to provide us with some basic information/data about your company.

As first step within our supplier approval process this Supplier Self-Assessment is supporting us to evaluate the potential of your company to become a SumiRiko AVS supplier.

Please also send your current company presentation with the completed questionnaire

Yours faithfully

SumiRiko AVS

**To**

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**SumiRiko AVS Commodity Manager**

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## **1. General Information**

Company name:

Business Area:

Plant:

Street:

Post Code / town:

Country:

DUNS-no:

Tax-ID number:  
(for suppliers in EU)

Production sites:  
(Countries / Locations)

Company foundation date:  
Legal form of company /  
Corporate affiliation:

### 1.1 Contacts

Area	Name	Phone	E-Mail
General Manager			
Quality Manager			
Environmental Manager			
REACH-Representative			
Technical Manager			
Sales Manager			
Logistics Manager			
Product Safety & Conformity Representative (PSCR)			
Development Manager			

Please attach actual organizational chart.

### 1.2 Number of Employees

Production	
Quality Management	
Logistics	
Development	
Sales	
Administration	
Tool Shop	
Maintenance	
Total	

Total turnover 20	in Mio €/a	thereof export	in %
Total turnover 20	in Mio €/a	thereof export	in %

1) ..... = ..... % of turnover

2) ..... = ..... % of turnover

3) ..... = ..... % of turnover

Yes	% from turnover
No	

Which Customers: .....

consequential damage	.....	Amount	.....	Currency
recall	.....	Amount	.....	Currency

Others:

A certification has been carried out by the  
Following company ..... at .....

Please attach COPIES of the certificates.

Did any automotive manufacturer evaluate your quality management in the last 12 months?

\* N/A for indirect material and machine suppliers

Evaluation by ..... Guideline .....

Classification ..... scores (Please attach copy of audit result sheet)

Is traceability of the basis product implemented? Yes No

Do you have incoming goods inspection? Yes No

Do you accept a confidential / non disclosure agreement? Yes No

#### Safety critical parts:

Are you already manufacturing safety critical parts for  
Automotive OEMs? Yes No

List OEMs:

Are you already audited and approved by OEM? Yes No

Please list audits last 2 years.

Our Global Procedure SM-Group 424 "Supplier QHSE Requirements Manual" is essential for our business relationship to its suppliers. It is available in the actual version on <http://avs.sumiriko.com/> under "Downloads".

Do you agree to deliver based on that Global Procedure? Yes No

If no, why not

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## 5. Development capabilities / simulation tools

### - Simulation tools

o Mould flow? Yes No

o Shrinkage simulation Yes No

o General process simulation Yes No

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## **6. Production processes**

**(Please describe your main production processes)**

In which region / countries is your company present? How many facilities do you have?

Machine scope (can be added per separate sheet)

Material scope (can be added per separate sheet)

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## **7. Internal laboratory**

Please specify the available laboratory scope by listing technical measure- and testing devices (e.g. X-Ray, 3-D, ...); can be added per separate sheet

## 8. Production preparation by

Own Engineering / Development

Own tool production

External tool design and material (Parts in % )

External production of tools (Parts in % )

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## 9. Sourcing

\* N/A for indirect material and machine suppliers

9.1 Which material will be bought from a sub supplier?  
(e.g. sheet metal, semi-finished products; forging)

9.2 Have you defined a minimum requirement for the quality management system of you sub supplier?

Yes

No

If yes, which one?

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## 10. Standard Logistics Conditions

\* N/A for indirect material and machine suppliers

### Transport:

Are you prepared to deliver to Incoterms 2020, DAP? Yes No

### Packaging:

Can you confirm the delivery in returnable packaging? Yes No

### Terms of Payment:

Do you agree to a credit note procedure? Yes No

### Delivery:

Do you agree to deliver to a consignment stock? Yes No

Do you have the EDI ability? Yes No

If not, do you have the possibility for WEB EDI?	Yes	No
Ability to export from your country?	Yes	No

Our Global Procedure SM-Group 421 " Supplier Logistics manual" is essential for our business relationship to suppliers. It is available in the actual version on <http://avs.sumiriko.com/> under "Downloads".  
Do you agree to deliver based on that Global Procedure?

Yes	No
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## 11. Environment and Energy Management System

Do you have existing systems?

Yes	No
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ISO 14001	ISO 50001	Others
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Others:

A certification has been carried out by the following company ..... on .....  
(Please attach copies of the certificates)

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## 12. Health and Safety at Work

Do you have existing systems, processes and measures in your company which guarantee the legal health and safety at work protection for employees and visitors? Safety manual and written instructions

Yes	No
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ISO 45001	OHSAS 18001	Others
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Others:

A certification has been carried out by the following company ..... on .....  
(Please attach copy of the certificate)

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## 13. Freedom of Association

Do your employees have the right for freedom of association and coalition agreement by the ILO convention 87 and 98? (e.g. the right of establishing and joining any independent labour union and other lobbies. Your company does not discriminate against employees being members of a trade union.)

Do your employees in your company have the right to establish or to join to an independent workers representation (e.g. labour union, council) and to negotiate about working conditions?

Yes	No
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## 14. Discrimination

The ILO Convention 111 dictates a non-discrimination rule at work:

It is not allowed, that someone will be discriminated against, redlined or preferred due to the reason of his/her ethnic background, skin colour, sex, credo, political opinion, national and social descent. The ILO Convention 100 ensures the same salary for the equivalent work for women and men.

Does your company discriminate as defined by ILO convention 111 and ILO convention 100?

Yes

No

If Yes, please explain:

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## 15. Overall Questions

Has your company been sanctioned through court within the last 24 month due to one or more of the following reasons?

- Child labour	Yes	No
- Forced labour	Yes	No
- Breach of coalition agreement	Yes	No
- Discrimination	Yes	No
- Accident with personal injury in succession of non observance of the work and health protection guidelines and laws:	Yes	No
- Environmental circumstances	Yes	No

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## Material Compliance Management

### 16. International Material Data System (IMDS)

\* N/A for indirect material and machine suppliers

The data collected by the entire Automotive Supply Chain enables the participating companies to comply to worldwide ELV directives, REACH SVHC, RRR and similar regulations.

For a detailed description click on the following link:

<https://mdsystem.com>

- |   |     |    |
|---|-----|----|
| - Is your company registered in the IMDS?                           | Yes | No |
| - If yes, please specify your Org.-ID                               |     |    |
| - IMDS-Contact Person (First- and Last name / Phone / Fax / E-Mail) |     |    |
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## 17. Global Automotive Declarable Substance List (GADSL)

\* N/A for indirect material and machine suppliers

The GADSL covers substances that are expected to be present in a material or part that remains in a vehicle at point of sale.

For a detailed description click the following link:

<http://www.gadsl.org/>

- |   |     |    |
|---|-----|----|
| - Are you fully aware of your legal requirements regarding HSE (Health Safety Environment) and MCM (Material Compliance Management) | Yes | No |
| - Do you regularly check GADSL compliance in your products?   | Yes | No |

If No, which products are affected:

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## 18. Regulation (EC) No 1907/2006 (REACH)

Statement to Conversion by REACH (Registration, Evaluation, Authorisation and Restriction of Chemicals). Within the scope may be placed only chemical substances on the market which has been previously registered.

For a detailed description click the following link:

<http://echa.europa.eu/regulations/reach>

- |  |     |    |
|--|-----|----|
| - Can you ensure for your products, that SumiRiko AVS does not fall into the role of the importer under REACH? | Yes | No |
| - Do you make efforts to eliminate SVHC (Substances of very high concern) in your products?                    | Yes | No |
| - REACH- Contact Person (First- and Last name/phone/fax/e-mail)  |     |    |
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19. Conflict Minerals (CM)

With reference to the Dodd-Frank Wall Street Reform and Consumer Protection Act there is an increased awareness of violence and human rights violations in the mining of certain minerals from a location described as a "Conflict Region".

For a detailed description click the following link:

<http://www.conflictreesourcing.org>

- Do you have a policy in place that includes DRC (Democratic Republic of Congo) conflict-free sourcing?	Yes	No
- Do you require your direct suppliers to source from smelters validated as compliant to a CFS protocol using the CFS (Conflict-Free Smelter) Compliant Smelter List?	Yes	No
- Do you have any possible conflict minerals in your products?	Yes	No
- If Yes, do you request source / smelter names for the possible conflict mineral contents?	Yes	No
- CM-Contact-Person (First- and Last name/phone/fax/e-mail)		

If the questions have not been truly answered, we retain the right to cancel any agreements between our companies.

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**Reason for evaluation** ☐ First contact  
☐ Re-Evaluation

**Decision:**

- ☐ Potential as Portfolio Supplier – start SumiRiko AVS Supplier Assessment
- ☐ Potential as Non Portfolio Supplier – start SumiRiko AVS Supplier Assessment
- ☐ No potential as Non Portfolio Supplier or Portfolio Supplier – no further assessment / no implementation in Supplier List
- ☐ Considered for safety parts
- ☐ Supplier Assessment already done / date: .....

Signature:

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SumiRiko AVS Notes: