SCHAEFFLER

FAQ- Sustainability Assessment Questionnaire (SAQ)

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1. Preface

With this information, we would like to offer you as our suppliers the opportunity to receive answers to frequently asked questions about the **Sustainability Assessment Questionnaire (SAQ)**, also known as the **Self-Assessment Questionnaire (SAQ)** and corresponding background information.

We hope this information is helpful and suitable to support the process of Sustainability Assessment within the framework of the sustainability questionnaire.

2. Why is there a Sustainability Assessment on sustainability for suppliers?

The **Sustainability Assessment Questionnaire (SAQ)** is a joint questionnaire of the Drive Sustainability initiative. In this initiative, 11 OEMs are working under the leadership of CSR Europe to improve sustainability in the automotive supply chain.

This goal can only be achieved jointly if OEMs and suppliers work together in the network, which is why Schaeffler has also opted for this system.

The SAQ includes questions on sustainability management, the environment, human rights and working conditions, ethics and compliance, and responsible sourcing of raw materials. It is based on a common standard of the automotive industry on sustainability in the supply chain, the so-called "Automotive Industry Guiding Principles to Enhance Sustainability Performance in the Supply Chain" and was created as a standardized tool for measuring the performance of stakeholders in the automotive industry. It allows you, our suppliers, to complete the same questionnaire for multiple customers, whether OEM or upstream supplier, and not face many different sets of questions. The effort for the supply chain should thus be reduced.

3. What is the significance of the SAQ at Schaeffler and what is it related to, e.g. in purchasing decisions

The SAQ is part of the risk assessment carried out by Schaeffler in accordance with the LkSG. In this context, it is not regarded as a measure but is intended to serve as a specific analysis carried out jointly with the supplier.

If Schaeffler identifies potential risks in the annual risk analysis and does not address them through direct measures, Schaeffler aims to improve its assessment of you as a supplier through the SAQ. Our expectation is a score of more than 70%. If the supplier is unable to achieve this score immediately, the measures proposed by NQC must be implemented in a timely manner, but no later than within the current year, and their implementation must be documented.

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In the event of insufficient commitment from your side, the resulting escalation process, e.g. New Business Hold (NBH), may lead to exclusion from purchasing decisions.

4. Who is NQC Ltd.?

The service provider NQC Ltd. is an external service provider that provides the nqc.com platform on which the SAQ is completed. Currently, in addition to the participating members of Drive Sustainability (BMW, Daimler, Ford, FCA, Honda, Toyota, Volkswagen Group, Volvo Cars and Volvo Group), numerous suppliers such as Schaeffler also use this service provider NQC Ltd.

5. Why is the nqc.com platform used to query the SAQ?

The nqc.com platform is used to allow all stakeholders and interested parties to answer the SAQ once and then share the answers with your customers. Suppliers can also track and predefine with which customers their data is shared by entering and sharing it. This ensures that work is done in compliance with antitrust regulations. At no point can an OEM or upstream supplier in the supply chain see if a supplier has shared their SAQ responses with another party.

Certificates and other documents requested as part of the SAQ response can be uploaded to the platform. They will be reviewed by the validation team of NQC Ltd. Based on this validation, suppliers receive recommendations to improve their sustainability performance as well as a score that provides guidance on sustainability performance (100% as the best possible score). After implementing recommended actions, suppliers can revise their answers in the SAQ directly on the platform and inform their customers directly about improvements in their sustainability performance.

6. What is the benefit of the SAQ and why is it important for Schaeffler?

The response to SAQ is intended to show the extent to which suppliers meet Schaeffler's sustainability requirements, i.e. backed up with evidence. These requirements, the Schaeffler Supplier Code of Conduct, are available to our business partners on the landing page at Schaeffler Germany The requirements are contractually binding and apply to suppliers regardless of the production materials, processes, or services provided.

The sustainability performance of suppliers will play a relevant role in the contract award process in the future. In this context, the SAQ is a central component in the assessment of the sustainability performance of suppliers. Only with an available assessment can suppliers be considered for new orders in the future.

7. Which suppliers must complete the SAQ?

Basically, the SAQ is relevant for all production material suppliers and selected non-production material suppliers in the application. As a supplier, you will be actively contacted and asked to answer the query. It is important to note that this is done via the service provider NQC Ltd. who acts in our name or on our behalf and sends the invitation to you. Please note that the invitation code can only be used by the contacted e-mail recipient.

If this is not the correct or responsible contact person in your organization, please provide us with the correct contact person (including email address and phone number).

If you are already registered on NQC Ltd., have answered an SAQ and have not yet been requested to do so by Schaeffler, you are invited to share it with us. Please contact us via: purchasing-sustainability@mail.schaeffler.com so that we can send you an invitation code.

8. How are suppliers selected for the SAQ request?

Mandatory participation results from the risk analysis process (see also 3.). In line with the recommendations, Schaeffler contacts suppliers only where there is a justified need, in this case where there are indications of human rights risks.

Voluntary participation may arise from other business reasons, for example new projects, and can therefore increase the chances of being considered for new sourcing.

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9. Do suppliers have to pay anything for answering the SAQ on nqc.com?

No, the SAQ is available free of charge to all suppliers who are requested to respond to the SAQ. The costs are borne by Schaeffler or proportionally by the customers to whom the supplier allows sharing.

10. How long do suppliers have to complete the SAQ?

Where an obligation arises under points 3 and 8, completion of the SAQ is expected by the third quarter of the current calendar year. In such cases, suppliers typically receive the request for participation by the beginning of the second quarter.

For voluntary participation, the timing of completion and submission of the SAQ is subject to agreement, so that it can be considered in award decisions.

For more details, please contact the contact person of the purchasing department at Schaeffler.

11. In which languages is the SAQ available?

The SAQ is available on the Drive Sustainability Website in PDF version in the following languages: Chinese Mandarin, Czech, English, French, German, Hungarian, Italian, Japanese, Polish, Portuguese, Russian, Spanish, Turkish. The nqc.com platform offers Chinese (Mandarin), English, French, German, Hindi, Japanese, Korean and Spanish languages.

However, the documents uploaded as evidence (e.g. certificates, training records, etc.) should be provided in one of the following languages: **Chinese Mandarin, English, French, German, Italian, Japanese, Portuguese, Spanish**. We therefore ask our suppliers to have corresponding documents translated. This Translation does not have to be notarized.

12. How long is the SAQ valid?

Basically, the answers in the SAQ that you deposit on the platform do not lose their validity. Only uploaded certificates (e.g. an ISO 14001 certificate) may expire according to the specified validity period. The status on the nqc.com platform then changes to "Expired". As soon as suppliers have replaced correspondingly expired certificates, the status "Completed" is displayed again. We expect our suppliers to update expired certificates as soon as possible. The SAQ with an expired document will otherwise be considered invalid.

13. Can questions change in the SAQ?

Drive Sustainability revises the SAQ approximately every two years and publishes an updated version of the SAQ, which is also implemented on the nqc.com platform.

As a result of this adaptation, all users are asked to review the SAQ and respond to possible changes. These changes usually reflect changes in requirements and may thus require additional evidence for existing questions or lead to the addition of questions on new topics. The changes may also affect the assessment rating.

14. What to do if the given DUNS number is not correct?

As a supplier, you will be contacted based on the Schaeffler contact information from the ERP system (SAP). Therefore, if any of this information, e.g. the DUNS, is incorrect, we request that you immediately contact the purchasing contact at Schaeffler known to you to correct the data.

Only the e-mail recipient is authorized to register on the platform with the Schaeffler invitation code.

A query of the identification number (UPIK-DUNS) is possible under the following link: UPIK®-Plattform - Bisnode.de

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15. How can suppliers deposit the SAQ for multiple locations?

Suppliers can use an already completed SAQ as a template for other company locations. For this purpose, when filling out the SAQ for a new location, the template can be selected via the function "Reuse SAQ already filled out". After appropriate adjustments have been made in the SAQ, the adjusted SAQ must be shared with Schaeffler again.

In case of problems, the NQC technical support can assist.

16. How suppliers can continue to work on an SAQ that has already been started?

To continue working on an SAQ that has already been started, the corresponding location on the nqc.com platform must be located on the dashboard and "Respond" clicked.

If the option "Start new SAQ 5.0" on the right side of the dashboard is clicked instead, a new SAQ is created instead of working on an already existing questionnaire. Suppliers should therefore ensure that the "Start new SAQ 5.0" option is only clicked if a new SAQ is to be answered for a site for which no SAQ already exists

17. What do the different statuses on nqc.com mean?

If a Sustainability Assessment is started, it is in the status "Responding". The supplier can edit the Sustainability Assessment and upload documents.

Once all questions have been answered as best as possible, the SAQ must be "Submit" using the green button on the final page of the SAQ.

The SAQ is then given the status "Validating". In this phase, the answers in the SAQ are validated by NQC, i.e. NQC checks whether the document uploaded for the respective answers can be accepted as evidence. This process usually takes within 5 business days. During this time, the SAQ cannot be processed by the supplier.

Once validation has been completed by NQC, the SAQ receives the status "Completed" and the score will be visible. After that, further work can be done on the SAQ, documents can be updated or newly provided to further improve the result. It should be noted, however, that the SAQ must be resubmitted and validated after each processing, thus triggering a new review process by NQC.

18. What can suppliers do if a document has not been recognized in the validation of their SAQs?

Should a document, or several documents, not be accepted, suppliers will receive an alert indicating that results are available. Once the supplier opens the questionnaire, they need to navigate to the “Answers” tab to view any identified gaps.

On the nqc.com platform, suppliers can view the reasons for rejection.

Common reasons for rejection include insufficient coverage of relevant individual topics in the submitted guidelines, e.g. when air pollution prevention is covered but wastewater prevention or disposal is missing. Another reason may be that the scope is not sufficiently defined, e.g. the requested location is not included, management systems cannot be documented, or proper assignment via documents without a company logo is not provided. Another common reason is that uploaded documents are in a language that is not supported.

To complete the SAQ, either a valid document must be uploaded, or the question must be answered with “no”, which may lower the rating result.

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19. Can suppliers delete a SAQ or stop sharing?

Yes, suppliers can delete an SAQ themselves using the "Delete" button on the corresponding SAQ but must remove all active sharing before it will take action, this is to prevent accidental deletion of an SAQ.
Suppliers can deny a sharing relationship with a business partner at any time. They can stop sharing an SAQ by clicking on the "Share" button for the corresponding SAQ and then "Deny" for the relationship they want to stop.

The business partner can no longer view the responses in the SAQ. However, removing the sharing access is not the same as deleting an SAQ.

20. Who can suppliers contact in case of technical problems?

If you have any technical questions about the SAQ, NQC's support team will be happy to help, either by e-mail via the contact form or by phone on +44 (0)1614137983. Suppliers can also use the live chat function on the platform once they are in the logged-in area. The platform and support are available in multiple languages, depending on the selected interface language.

21. Who can suppliers contact if they have questions about the content of the SAQ?

Questions regarding content can be sent to the Purchasing & Supplier Management Sustainability Function at Schaeffler via the following e-mail address: purchasing-sustainability@mail.schaeffler.com

It goes without saying that every effort will be made to answer all questions as quickly as possible. You can support this by providing your contact and business data in full and describing the problem in concrete terms.

22. Where can suppliers find further relevant information?

In general, you will find all information on the Schaeffler company pages, also in several languages.

23. Procedure for service providers/ traders with reference to a parent company

If the documents, evidence or policies requested in the SAQ are not specific to your organization, but the relevant documents of your parent company also apply to your organization, please answer "Yes" to the relevant questions in the SAQ and upload the documents of your parent company.

In addition, please add the following in category J "Additional Information" in the SAQ:

"We are a service provider/trader and are unable to provide evidence of the required documents. We have uploaded the documents and evidence of our parent company *NAME* as these are also valid for our organization."

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