

## EXPLANATIONS ON SUPPLIER ASSESSMENT

### Freight forwarding Services

For the services provided by the suppliers, the following criteria are differentiated in the supplier assessment and assessed individually every 6 months. All criteria are explained in detail on the following pages.

- **Range of services / Possible uses** (incl. energy and environmental management) **(Quality)**
- **Quality of the services** (incl. energy, environmental management, occupational safety) **(Quality)**
- **Professional competence** **(Quality)**
- **Adherence to delivery deadlines** **(Logistic)**
- **Price behavior** **(Procurement)**
- **Technological and innovative capability** **(Technology & Innovation)**

If applied, 1-100 points are awarded for the individual criteria. No overall criteria average is calculated. We expect our suppliers to strive for the maximum number of points in all areas. The classification of the points achieved and our expectations and measures can be seen in the following list:

#### 100 - 81 Excellent Performance

- There is no need for an explanatory statement from the supplier.
- The supplier will be given preference when placing orders.

#### 80 - 61 Average Performance

- An explanatory statement from the supplier is expected.
- Improvements are expected from the supplier.

#### 60 – 41 Just Adequate Performance

- A written statement from the supplier is mandatory (within two weeks after receiving the assessment results)
- Improvement measures with deadlines for supplier development are to be agreed (within four weeks after receiving the assessment results)
- Limited order placement or status "new business on hold"
- The takeover of additional effort in our company (inspection costs, sorting costs, etc.) has to be agreed with the supplier for future deliveries, possibly.

#### 40 - 1 nicht mehr akzeptable Leistung

- A written statement from the supplier and a personal explanation are mandatory (within two weeks after receiving the assessment results)
- Improvement measures with deadlines for supplier development are to be agreed (within four weeks after receiving the assessment results)
- Status „new business on hold“ or „supplier blocked“ will be evaluated
- A new PSM Audit of the supplier has to be carried out within 6 weeks
- A new QAM System- and/or Process-Audit has to be carried out, possibly.
- The takeover of additional effort in our company (inspection costs, sorting costs, etc.) has to be agreed with the supplier for future deliveries.

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## **Criterion: Range of services / Possible uses**

The criterion Range of services/possible uses is further subclassified into the subcriteria Equipment/energy and environmental management, Flexibility and Connections/partners.

A maximum of 100 points is awarded in each of these subcriteria. To derive an overall grade for this criterion, the individual scores are recorded, weighted and collated separately.

The weighting for the **Equipment/energy and environmental management** criterion is **35%**, for **Flexibility 45%** and for **Connections/partners 20%**.

### **Subcriterion: Equipment/energy and environmental management (35%)** **for Shipment by road (truck)**

	Points
Majority of the vehicles used are to Euro 5 and 6 standards and better, inloaders <u>and</u> low loaders (the more of these the higher the score)	93 - 100
Majority of the vehicles used are to Euro 4 standard and better, inloaders or low loaders (the more of these the higher the score)	86 - 92
Majority of the vehicles used are to Euro 5 and 6 standards and better, standard vehicles	> 85
Majority of the vehicles used are to Euro 4 standard	> 80
Majority of the vehicles used are to Euro 2 and Euro 3 standards	41 - 60
Equipment or majority of the vehicles not suitable for RE or Euro standard <=1	1 - 40

Here, it has a positive effect in terms of assessment if the forwarder can to a growing extent also carry out low-loader and inloader shipments and uses modern equipment.

### **for Shipment via courier, express and parcel services**

	Points
Vehicles can be used without restrictions	81 - 100
Vehicles are restricted in terms of use (e.g. loading of pallets not possible, vehicle fleet limited in number or type)	61 - 80
Performance of the services not possible with existing vehicle fleet	1 - 60

Here, it also has a positive effect in terms of assessment if the vehicles are in a modern and visually immaculate condition and meet the latest emission standards.

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for Shipment by sea

	Points
Regular provision of special equipment (e.g. flat racks) possible, even with short lead time	91 - 100
Regular provision of special equipment (e.g. flat racks) possible, but only with long lead time	81 - 90
In some cases difficulties in the provision of special equipment, even with long lead times	61 - 80
Special equipment cannot as a rule be provided	1 - 60

The provision of special equipment, such as flat racks, is essential for the shipment of thyssenkrupp Rothe Erde products, for which reason it is positive in terms of assessment if this equipment can be provided.

for Shipment by air

	Points
No discernible restrictions in terms of equipment	81 - 100
Necessary equipment could not or only partially be made available	0 - 80

**Subcriterion: Flexibility (45%)**

	Points
Very flexible response to thyssenkrupp Rothe Erde requirements, even on weekends and outside normal business hours	91 - 100
Good flexibility in terms of response to thyssenkrupp Rothe Erde's requirements during normal business hours	81 - 90
The normal degree of flexibility necessary for business dealings	61 - 80
In some cases sluggish response to thyssenkrupp Rothe Erde requirements	41 - 60
Unacceptable flexibility, inflexible, bureaucratic behavior	0 - 40

Here, it has a positive effect in terms of assessment if the contact persons can also be reached outside normal business hours and transport requirements can also be organized and/or executed during this time.

**Subcriterion: Connections / partners (20%)**

	Points
Coverage of all destinations in the relevant territory, short communication channels with rapid feedback	91 - 100
Coverage of the conurbations in the relevant territory, adequate coverage in the rest of the country	81 - 90
Average coverage in the relevant territory	61 - 80
Average coverage in conurbations, poor coverage of the rest of the country	41 - 60
Poor, inadequate coverage	0 - 40

Here, it also has a positive effect in terms of assessment if the forwarder expands its operational possibilities with regard to the served regions.

## **Criterion: Quality of the services**

The Quality of service criterion is further subclassified into the subcriteria Quality of transport/cargo securing/ occupational safety, Quality of documentation, and Management and management systems (energy and environmental management/occupational safety).

The weighting for the criterion **Quality of transport/cargo securing/work safety** is **70%**, for **Quality of documentation 15%** and for **Management and management systems** (energy and environmental management/ occupational safety) likewise **15%**.

### **Subcriterion: Quality of Transport/cargo securing/occupational safety (70%)**

	Points
Damage/deficiency rate 0-1.9%	81 - 100
Damage/deficiency rate 2.0-3.9%	61 - 80
Damage/deficiency rate 4.0-5.9 %	41 - 60
Damage/deficiency rate 6.0-100 %	1 - 40

Here, it has a positive effect in terms of assessment if the cargo securing is carried out to the required extent without this having to be requested and no complaints are made by the consignee on account of damage in transit.

The number of cases of damage is recorded and set relative to the transport assignments carried out during the period under assessment.

Particularly serious violations can lead to deviating assessments.

### **Subcriterion: Quality of documentation (energy and environmental management/occupational safety) 15%**

	Points
Documentation is consistently factually correct, complete and error-free	91 - 100
With just a few exceptions, documentation is factually correct, complete and error-free	81 - 90
Documentation regularly contains errors (e.g. missing data, incorrect values)	61 - 80
Documentation is mostly factually incorrect, incomplete and/or error-prone	41 - 60
Documentation is always inadequate	1 - 40

### **Subcriterion: Management and management systems (15%)**

Here, it has a positive effect in terms of assessment if the forwarder invests discernible outlay in process quality, environmental protection, occupational safety and energy management. Each certified management system (quality, environment, occupational safety, energy efficiency) is additionally taken positive account of with up to 10 points.

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## **Criterion: Professional competence**

The criterion of Professional competence is further subdivided into the subcriteria Product knowledge and Connections/market knowledge.

A maximum of 100 points is awarded in each of these two subcriteria. For the purposes of deriving an overall score for this criterion, the individual scores are recorded, weighted and collated separately.

The weighting for **Product knowledge** is **50%** and for **Connections/market knowledge** **50%**.

### **Subcriterion: Product knowledge (50%)**

	Points
Product-related transport development and consulting	91 - 100
Extensive product know-how, so that transport optimization can be pressed ahead with	81 - 90
Understanding/ knowledge of thyssenkrupp Rothe Erde products	61 - 80
Sketchy know-how, supported product knowledge	41 - 60
Too little competence available	1 - 40

Here, it has a positive effect in terms of assessment if the forwarder can make transport-optimizing suggestions based on their sound knowledge of the thyssenkrupp Rothe Erde products. It is assessed as particularly positive if the freight forwarder provides advice on their own initiative.

### **Subcriterion: Connections/market knowledge (50%)**

	Points
Know-how for consulting in the sphere of mode-of transport-selection and routing/route selection	91 - 100
Extensive know-how, adequate dialog partners	81 - 90
Expected expertise average	61 - 80
Sketchy know-how, supported specialist knowledge	41 - 60
Too little know-how	1 - 40

Here, it has a positive effect in terms of assessment if the freight forwarder is able to make transport-optimizing proposals on the basis of their good knowledge of connections and the market. It is assessed as particularly positive if the freight forwarder provides advice on their own initiative.

## **Criterion: Adherence to delivery deadlines**

An overall score of maximum 100 points is awarded for the criterion Adherence to delivery deadlines. This results from the supplier's deadline compliance/reliability. It is monitored regularly by way of random checks.

### **Subcriterion: Deadline compliance/reliability (100%)**

	Points
Rate non-compliance with delivery deadlines 0 - 2.9%	81 - 100
Rate non-compliance with delivery deadlines 3.0 - 5.9%	61 - 80
Rate non-compliance with delivery deadlines 6.0 - 9.9 %	41 - 60
Rate non-compliance with delivery deadlines 10.0 - 100%	1- 40

Determination by random check:

3% of the transport assignments

At least 1 x, max. 20 x per half-year and freight forwarder

Always 1st transport assignment of the period under assessment

## **Criterion: Price behavior**

An overall score of maximum 100 points is awarded for the criterion Price behavior using the following key:

	Points
> 7 % below market price	<b>100</b>
5 - 7 % below market price	<b>90</b>
2 - 4 % below market price	<b>85</b>
Between 1% below and 1% above market price	<b>80</b>
2 - 5 % above market price	<b>70</b>
6- 9 % above market price	<b>50</b>
> 10 % above market price	<b>1</b>

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## **Criterion: Technological and innovative capability**

The Technological and innovation capability criterion is further sub classified into the sub criteria Technology road map, Development and testing department, Cooperation behavior, Innovation foot print and Implementation of innovations.

A maximum of 100 points is awarded in each of these five sub criteria. To derive an overall score for this criterion, the points assigned to each individual performance are recorded, weighted and collated separately.

The weighting for the Technology road map criterion is 20%, for Development and testing department 20%, for Cooperation 20%, for Innovation footprint 20% and for Implementation of innovations 20%.

### **Sub criterion: Technology road map (20%)**

The assessment here is as to the extent to which the technology/innovation development process is planned, described and budgeted and is relevant for CT-BG products.

	Points
Planned, described and budgeted	100
Planned and described	50
Inadequately described / not known	1

### **Sub criterion: Development and testing department (20%)**

The assessment here is as to the extent to which development capacities are available and of relevance for us.

	Points
Separate development/testing department exists	100
Integrated order and development/testing department exists	50
Inadequate resources / not known	1

### **Sub criterion: Cooperation behavior (20%)**

The assessment here is as to the extent to which the supplier is interested in an open cooperation.

	Points
Cooperation agreement concluded	100
Willingness to cooperate exists / open communication / quick responsiveness / supplier does preparatory work	50
Inadequate behavior / not known	1



**Sub criterion: Innovation footprint (20%)**

The subjects of assessment are the results of the supplier's innovative capability and technological development Over the past ten years, also with regard to non-CT-BG-relevant products.

	Points
Technology leader: publications, innovative products and processes, unique characteristics exist	100
"Fast follower": technology / products / processes comparable to technology leader	50
Inadequate footprint / not known	1

**Sub criterion: Implementation of innovations (20%)**

The assessment here is as to the extent to which the supplier is in a position to integrate innovations promptly into the production process for products that are of relevance to us.

	Points
Prompt implementation/ supplier does preparatory work (bears risk)	100
Adequately prompt implementation	50
Inadequate implementation / not known	1