

EXPLANATIONS ON SUPPLIER ASSESSMENT Services

(with exception of 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 | (Quality) |
| • Third party authorization/certification, for particular services | (Quality) |
| • Readiness / Flexibility / Cooperation | (Quality) |
| • Occupational safety / Environmental protection / Energy efficiency | (Quality) |
| • Work result | (Quality) |
| • Adherence to schedules | (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

An overall score of maximum 100 points is awarded for the criterion Performances – Range of services. This results from the assessment of the supplier's performance capability, performance potential and the qualification for the required performance. It is particularly positive in terms of assessment if a supplier is able to cover complete disciplines or service packages comprehensively, with overall responsibility and competence. This also applies in particular to the qualifications, efficiency and goal orientation of the deployed specialists and executive personnel.

Criterion: Third party authorization/certification, for particular services

Service providers, where a third party authorization/certification is highly relevant, will be evaluated with the criterion “authorization” by Quality Management department. The complete fulfillment of all requirements will be evaluated with 100 points – a limited fulfillment of the requirements or a non –fulfillment will be rated with one point.

Criterion: Readiness / Flexibility / Cooperation

The criterion Readiness/Flexibility/Cooperation is further subdivided into **Responsiveness, Readiness for night, overtime and weekend work** and **Cooperation/business conduct**. The ability to respond quickly to offers and orders required at short notice is assessed as particularly positive. A supplier's readiness to work even at times when our production is adversely affected as little as possible, for example at night or on weekends, also leads to a positive assessment. Fair and customer-oriented business conduct in a spirit of partnership and trust is also a prerequisite for an excellent assessment.

A maximum of 100 points is awarded in each of these three 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 **Responsiveness** criterion is **50%**, for **Night, overtime and weekend work 30%** and for **Cooperation/business conduct 20%**.

Criterion: Occupational safety / Environmental protection / Energy efficiency

The criterion of Occupational safety/Environmental protection is further sub classified into **Compliance with occupational safety guidelines, Order/cleanliness on construction sites** and **Handling of environment/hazardous substances/energy resources**. This results from the assessment as to whether the supplier autonomously complies with occupational safety guidelines and laws as well as environmental protection conditions and makes appropriate use of energy resources. This applies in particular to the performance of comprehensive, construction site-specific safety instructions and the continuous supervision of the deployed employees, materials and aids. Since the order and cleanliness practiced by the supplier on construction sites also contribute to this, these aspects are included in the evaluation.

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

The weighting for the **Compliance with occupational safety guidelines** criterion is **40%**, for **Order/cleanliness on construction sites 20%** and for **Handling of environment/hazardous substances/energy resources 40%**.

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Criterion: Work result

An overall score of maximum 100 points is awarded for the criterion Performances – Work result. This results from the assessment as to the extent to which a supplier's performance conforms to the respective specifications. Continuous monitoring by the supplier of the qualitative work status and close coordination with the thyssenkrupp rothe erde coordinator help ensure that subsequent complaints and reworking can be avoided, and lead to a particularly positive assessment. Besides an inefficient way of working among the deployed personnel, necessary reworking or parts/functions not tested by the supplier prior to delivery have a particularly negative effect on the assessment.

Criterion: Adherence to schedules

An overall score of maximum 100 points is awarded for the criterion Performances - Adherence to schedules using the following key:

Deadline for delivery only	Execution time 1-5 days	Execution time 5-15 days	Execution time 15-30 days	Execution time >30 days	
Deviation in days	Deviation in days	Deviation in days	Deviation in days	Deviation in days	Score
0	0	0	0	0	100
1		1	1	2	98
2			2		96
3	1	2		3	94
4			3		92
5				4	90
10	2	3	4	8	70
14	3	5	10	15	40
> 15	> 5	> 8	> 15	> 20	1

If delays are expected or have occurred, we expect immediate information about the delay and its cause. Failure to provide this notification gives rise to an overall deduction of 10 points from the above values

Criterion: Price behavior

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

Price level	Score
>10% below market price	100
6% to 9% below market price	90
2% to 5% below market price	85
Between 1% below and 1% above market price	80
2% to 5% above market price	70
6% to 9% above market price	50
>10% above market price	1

The market price is calculated from the average of the prices of all comparable services of all suppliers.

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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