SUPPLIER ASSURANCE

Supplier Guidance

SUPPLIER**ASSURANCE**

Delivered by
Charlotte Mallon, Client Delivery Executive, SUPPLIER**ASSURANCE**

Agenda

Supplier guidance

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- Gaps and Declaration Gaps
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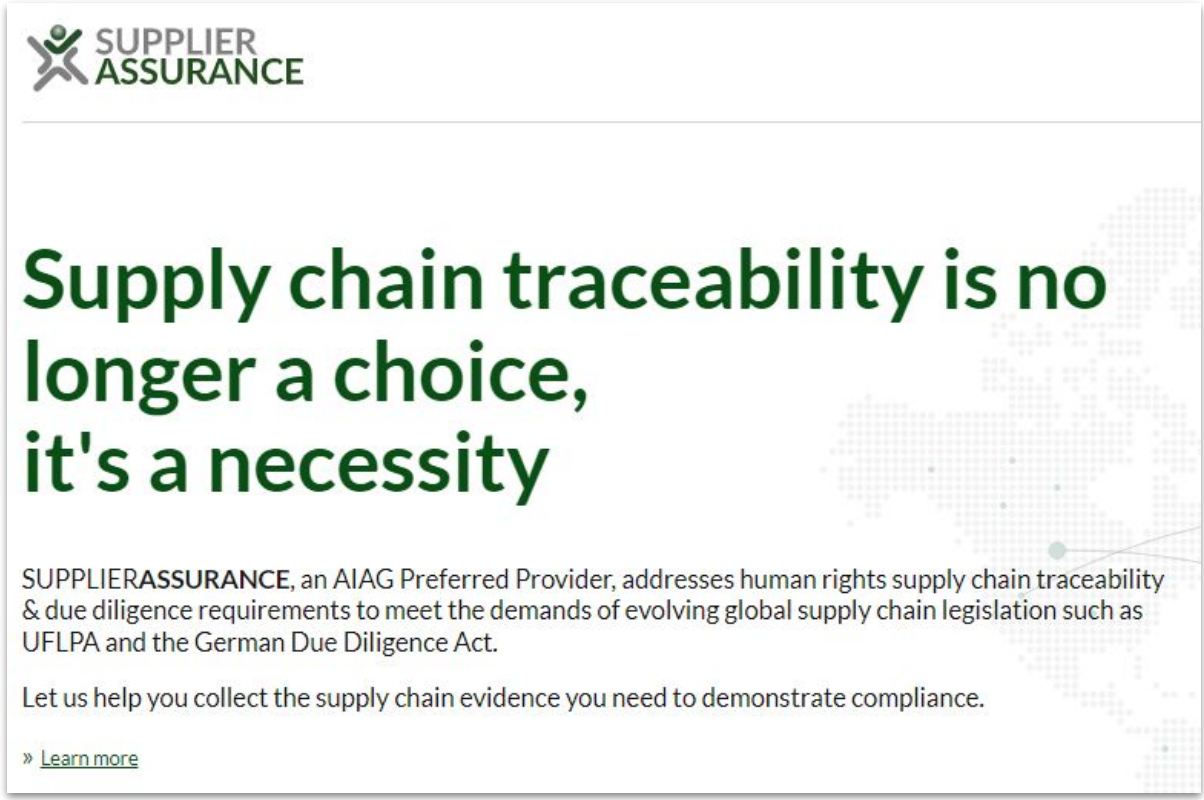
Where to complete?

SUPPLIERASSURANCE Platform

To complete a Sustainability Assessment Questionnaire (SAQ 5.0) requested by your buyer, please register on our SUPPLIER**ASSURANCE** platform



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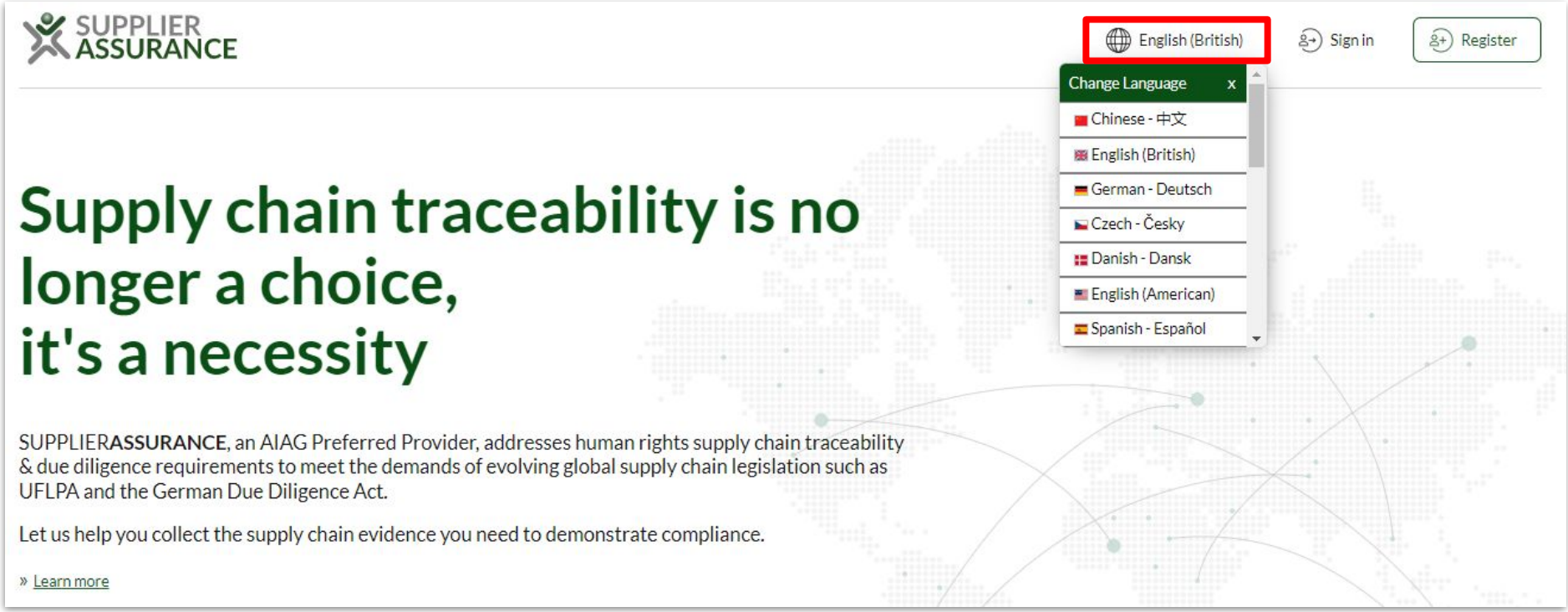
Multilingual availability

The SUPPLIER**ASSURANCE** platform is available in multiple languages, which each user can set it to its own preference.



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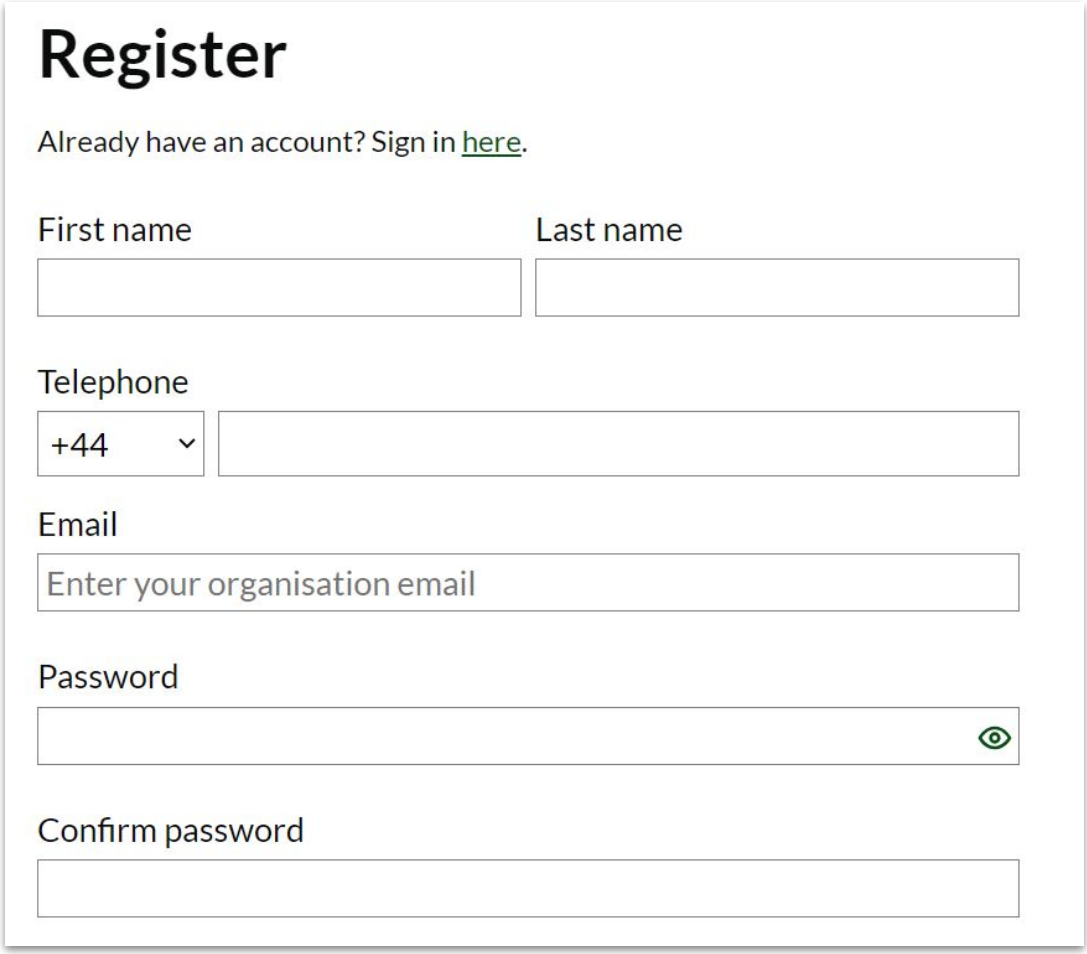
Registration

Registering

If you're accessing the SUPPLIER**ASSURANCE** platform for the first time, select Register from the navigation bar at the top of the page.

Enter your name, telephone number, email address and create a password for your account.



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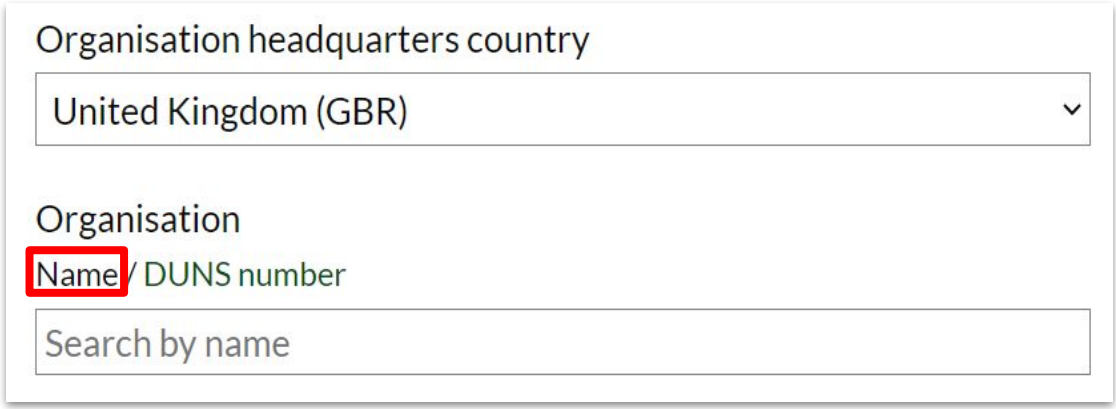
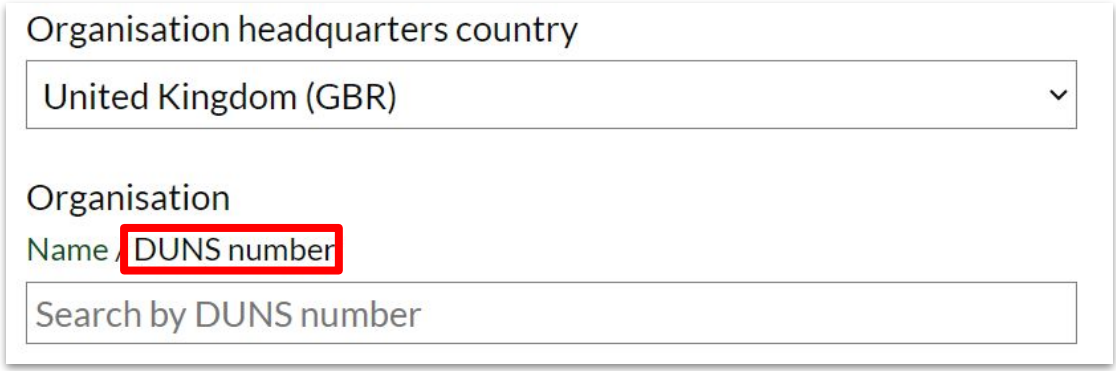
Registration

Registering

For your organisation details, you can search either by organisation name or DUNS number and pick the information from the list.

If your organisation name doesn't appear in the list, you can add the details manually.





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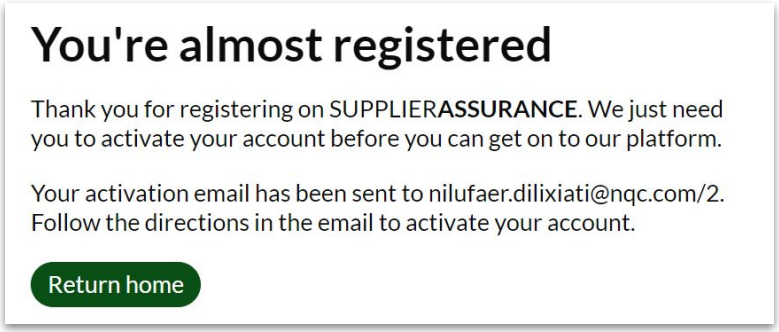
Activation & Sign in

Activate your account

Once you have finished registering your account you will immediately receive an email from SUPPLIER**ASSURANCE** containing an activation link.

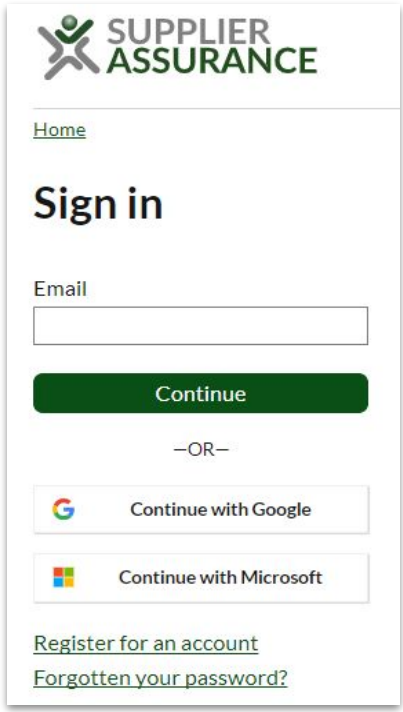
This activation link will take you directly to the questionnaire.



Sign in

To sign in onto your account in the future, please provide your email address and the previously created password.

Additionally you can use the Single Sign-on(SSO) feature if you have a Google or Microsoft account.



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Privacy policy

At NQC, we're committed to protecting and respecting your privacy.

Our privacy policy explains when and why we collect personal information about people who use our website, how we use it, the conditions under which we may disclose it to others and how we keep it secure.

It also explains your rights in relation to your personal data and how to contact us or a relevant regulator in the event you have a complaint.

Contents

Who are we?
How do we collect information from you?
What type of personal data is collected from you?
How is your personal data used?
How do we use your personal data for marketing purposes?
Who has access to your personal data?
How long will your personal data be kept?
What are your rights in relation to the personal data we hold?
What security precautions do we have in place to protect against the loss, misuse or alteration of your information?
How does the website use 'cookies'?
Do we have links to other websites?
Will we transfer your personal data between the EEA and the UK?
Will we transfer your information outside of Europe?
How will NQC review this Policy?
How can I contact NQC if I have any questions?
How can I lodge a complaint about your data handling?

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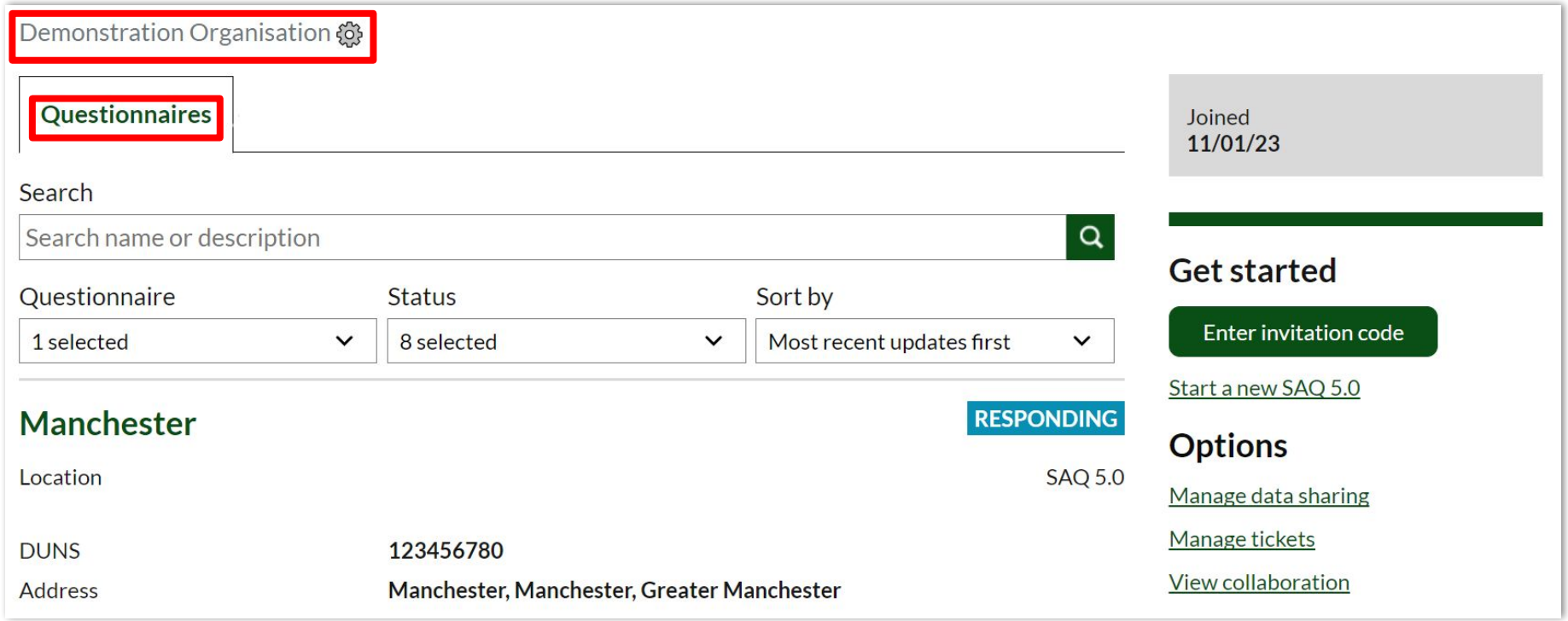
Your Dashboard

Everytime you sign in to the platform, your Dashboard will be displayed containing your organisation details and you will be able to manage your questionnaires.



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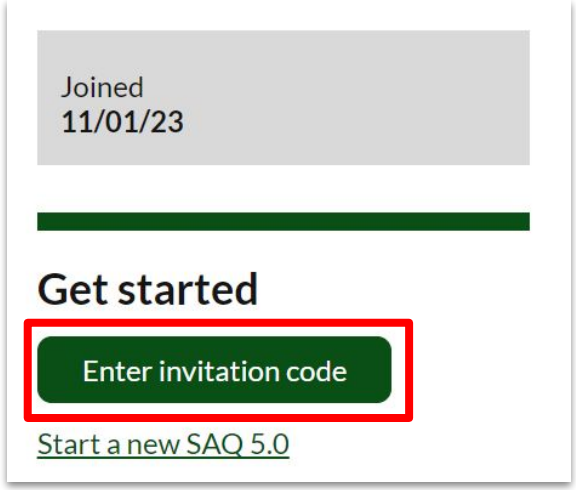
Your Invitation code

Using the invitation code

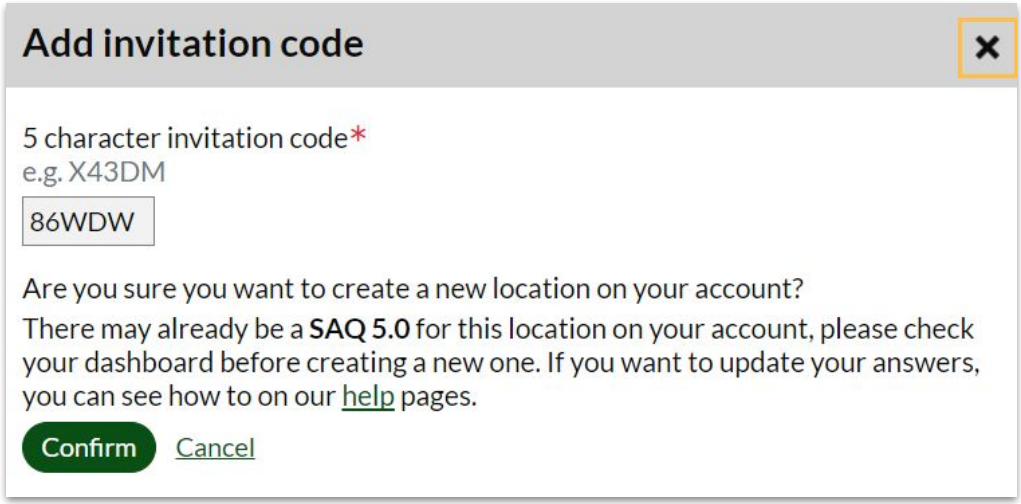
You have been requested by your buyer to share and complete a SAQ 5.0. Please check your mailbox and junk mail for the invitation email sent from no-reply@supplierassurance.com. If not, please communicate with your buyer.

If you do not have the requested location completed, you can use the invitation code to start a new questionnaire. In order to do so please select the “Enter invitation code” under the “Get started” option.



The code can be used only one time per questionnaire.

*If you have been sent more than one request, when entering the code you will be asked to specify which of the invitations you would like to use the code for.



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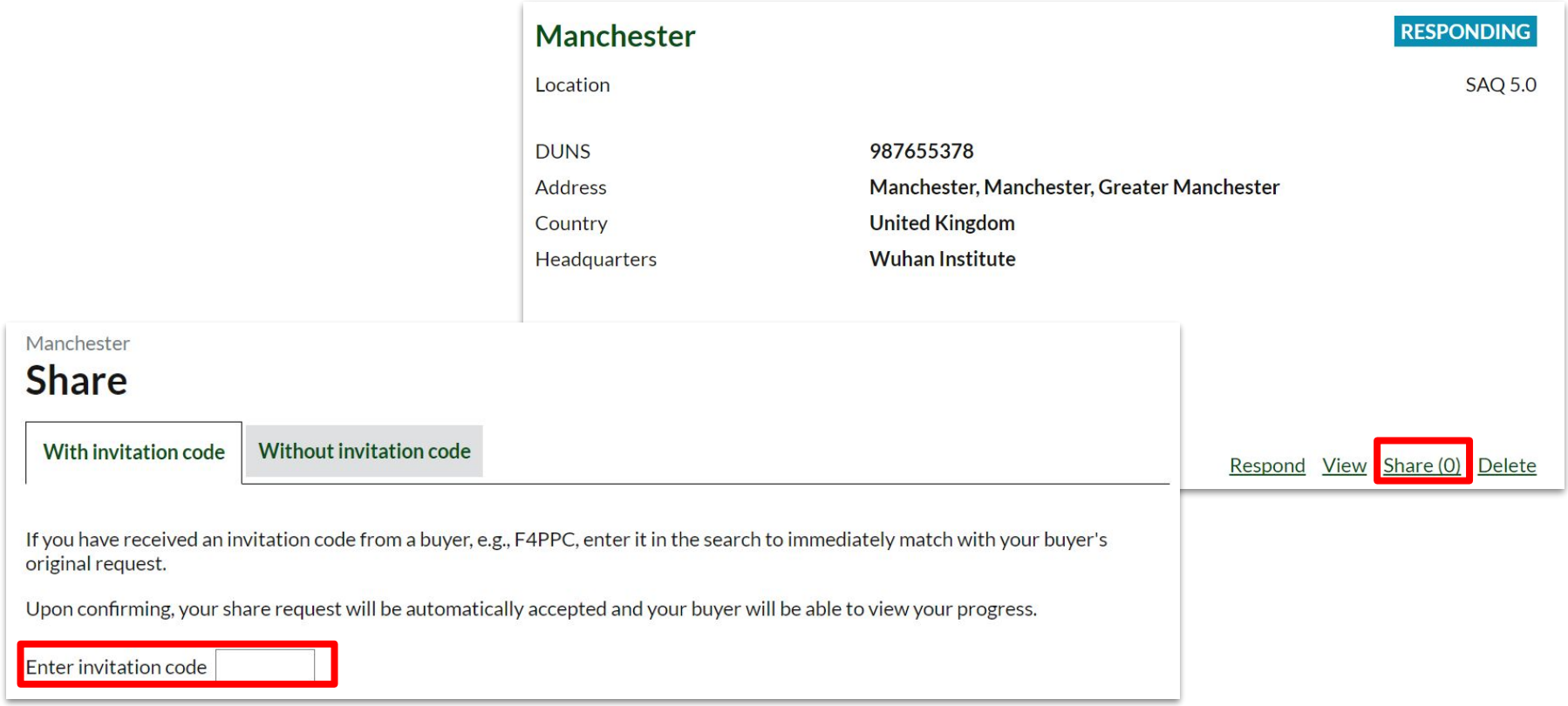
Sharing an existing SAQ with a Code

If you already have an existing questionnaire, you can use the invitation code to share it with your buyer.



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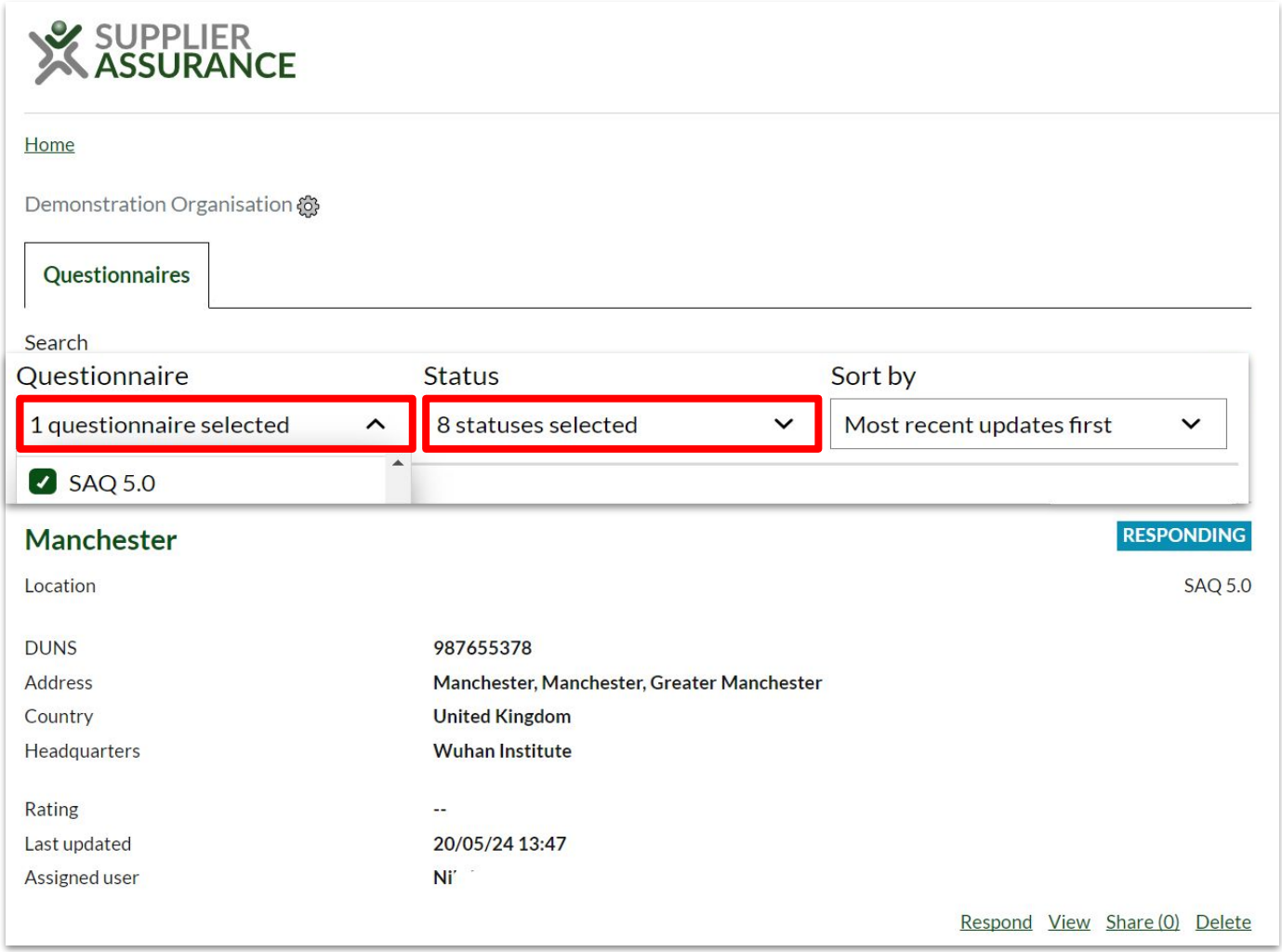
Locating your SAQ

Filter your questionnaires

Once you're signed in, select the following filters on your **Dashboard**:

Questionnaires - SAQ 5.0
Status - All 8 statuses



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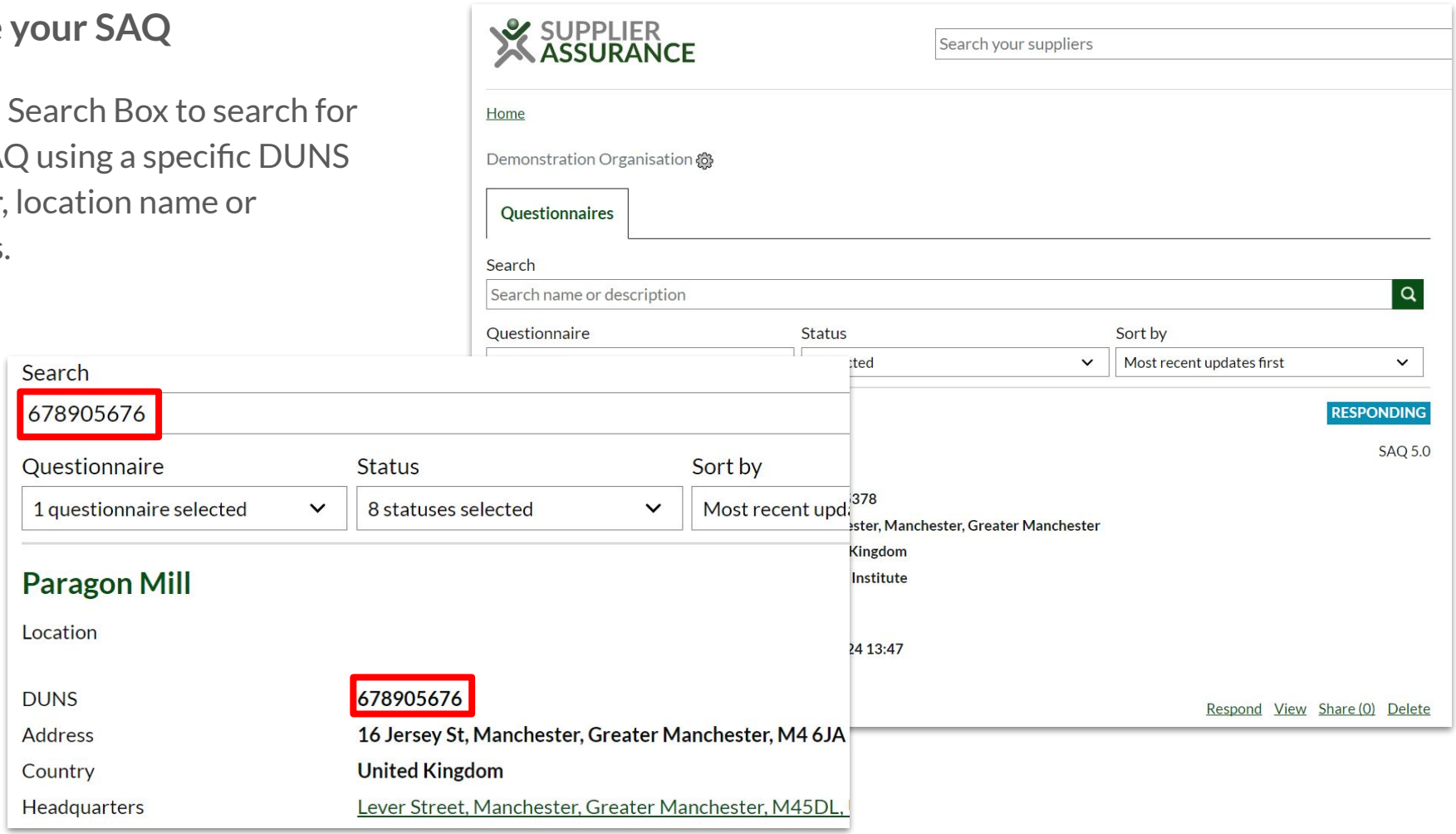
Locating your SAQ

Locate your SAQ

Use the Search Box to search for your SAQ using a specific DUNS number, location name or address.



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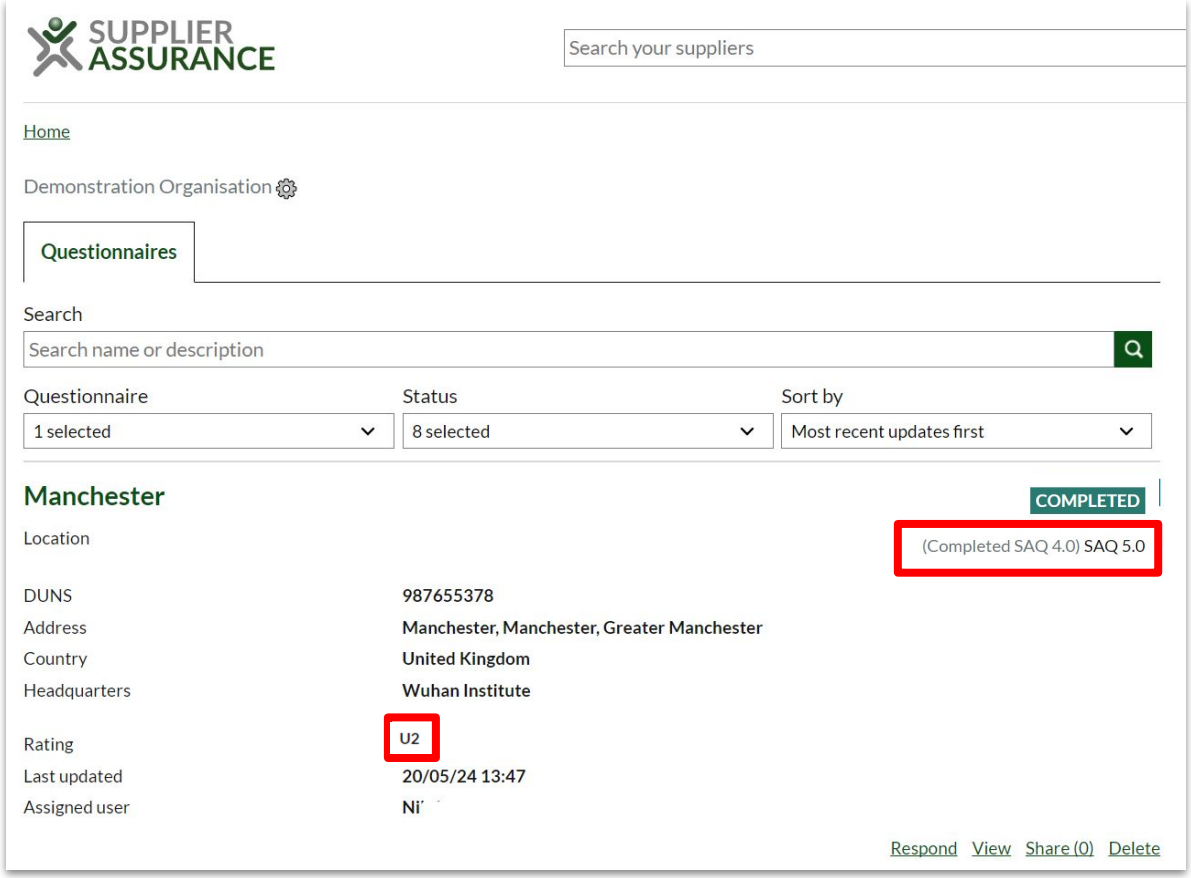
Locating your SAQ 5.0 (SAQ 4.0)

Understanding SAQ versions

If your SAQ is COMPLETED, your answer sheets will be represented as “COMPLETED SAQ 4.0” until you update it to an SAQ 5.0.

Until the SAQ is updated, the Minimum Scope Rating will show as “U”, making it ‘Unclassified’ for SAQ 5.0.

If you cannot locate your SAQ please use the Live Chat for immediate support or raise a ticket via the Contact Us form.



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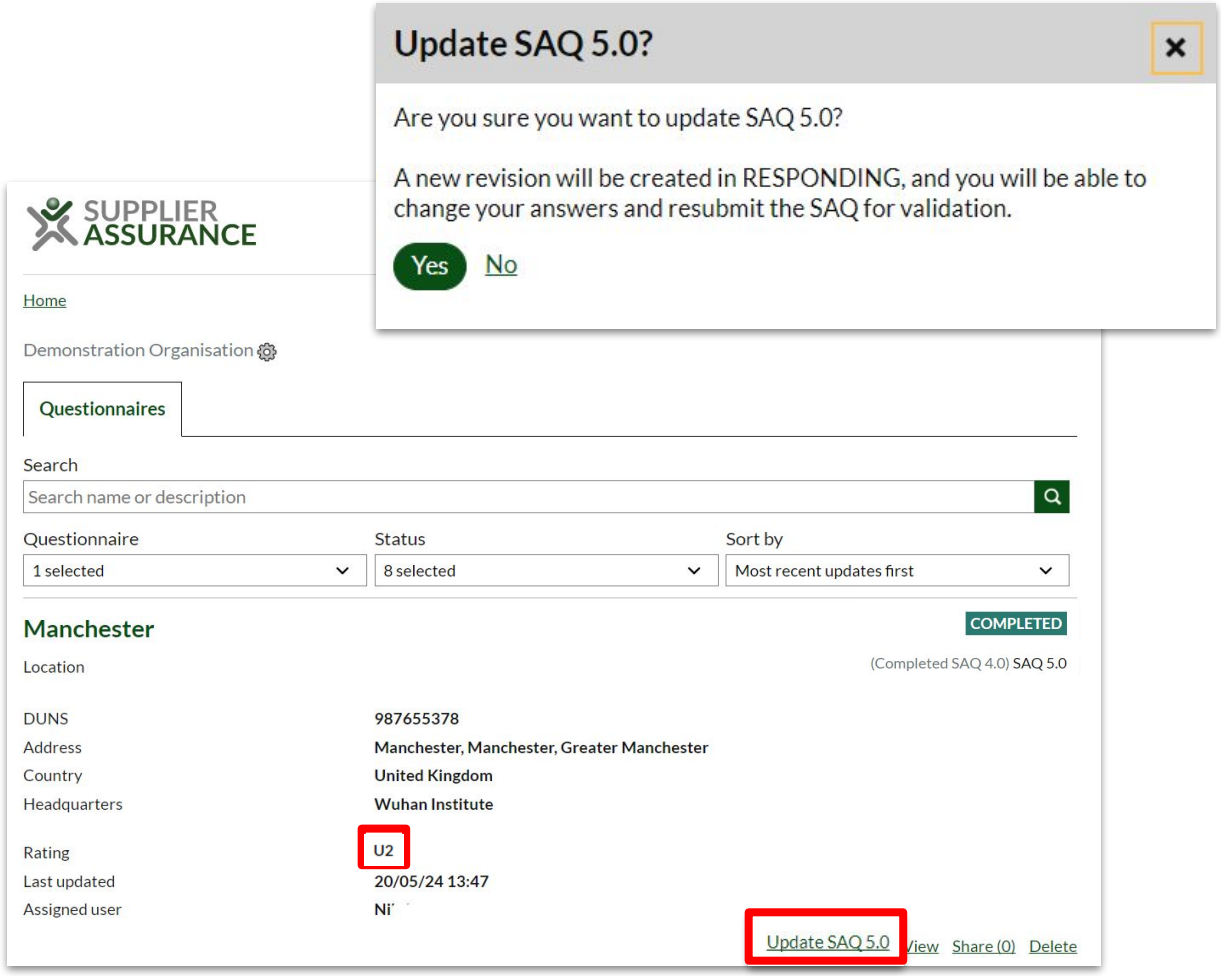
Updating your SAQ 4.0 to SAQ 5.0

Update your SAQ 4.0 answers

By selecting the “Update SAQ 5.0” option and confirming it, you will start updating your existing SAQ 4.0 answers to SAQ 5.0 answers.



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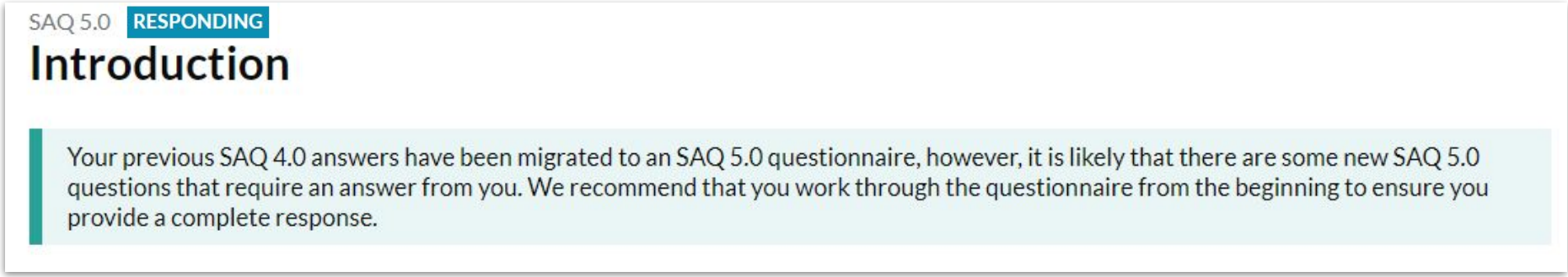
Updating your SAQ 4.0 to SAQ 5.0

Completing an SAQ 5.0

The first page you will see is the Introduction page of the SAQ 5.0. All previous answers and documents provided as evidence have been migrated to the new SAQ 5.0 version of your questionnaire.

You will now need to answer new SAQ 5.0 questions and provide new evidence to support your declaration.



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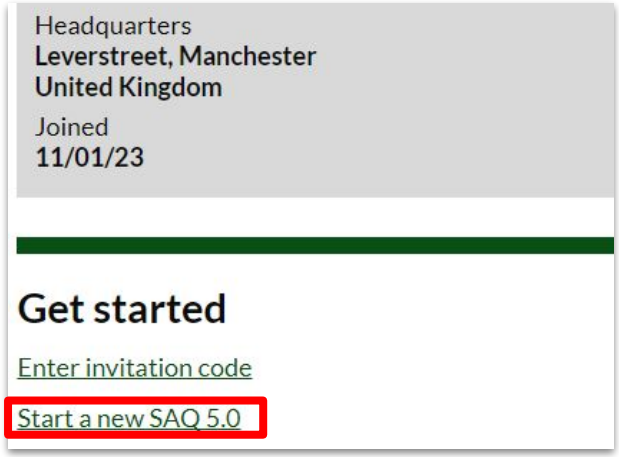
Starting a new SAQ 5.0

You have the option to start a new SAQ by selecting the “Start a new SAQ 5.0” under the “Get started” option.

As you are not using an invitation code, this SAQ will not be shared automatically with any buyers and will require to be shared in the future.

There is no limit to how many SAQs you can start.



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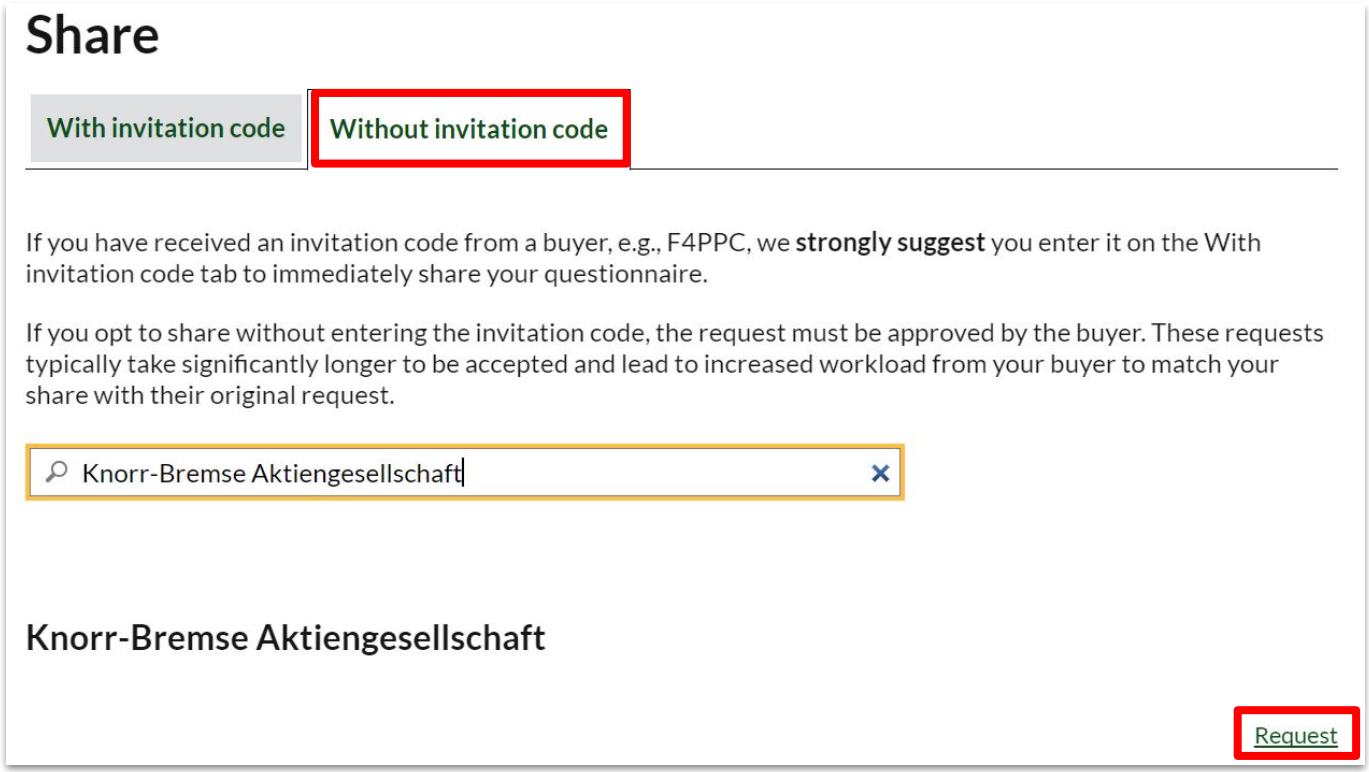
Sharing an SAQ without an invitation code

If you already have a SAQ and have been asked to share it by a buyer, but you don't have an invitation code, you can click on the ‘Share’ button → No invitation code, search for ‘Knorr-Bremse Aktiengesellschaft ‘ and request a share.



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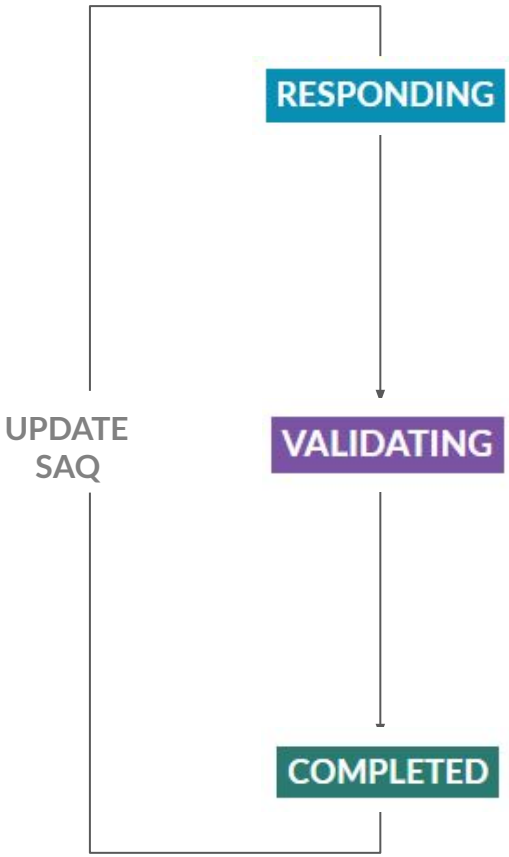
The SAQ workflow

Understanding the SAQs workflow and the continuous improvement of your SAQ.



To complete SAQ 5.0, you will be required to answer a number of questions within the sections mentioned above. Some sections will be compulsory depending on your company's industry sector categorised by NACE®. The remaining sections will be optional for your industry but will contribute to the SAQ 5.0 Rating.
As you answer the questions within an SAQ you may be asked to upload evidence to support your response. The evidence you upload must meet the acceptable evidence criteria that is set out against each question and support the answers that you select. Where a question is scored, the maximum score will be shown next to the question.

The SUPPLIER**ASSURANCE** team will review the evidence that you have uploaded to ensure that the documents meet the acceptable evidence criteria.
Where evidence does not meet the criteria or does not cover your selected answers, a gap will be raised. You will be notified by email of any gaps in the evidence that you provide.

Once your SAQ has been validated, you will be notified by email. At this point, you can view the results including scores, gaps that were identified in the evidence that you uploaded and recommendations for improvement.
You will then have the option to update your SAQ answers to address gaps or demonstrate improvement in your sustainability performance.

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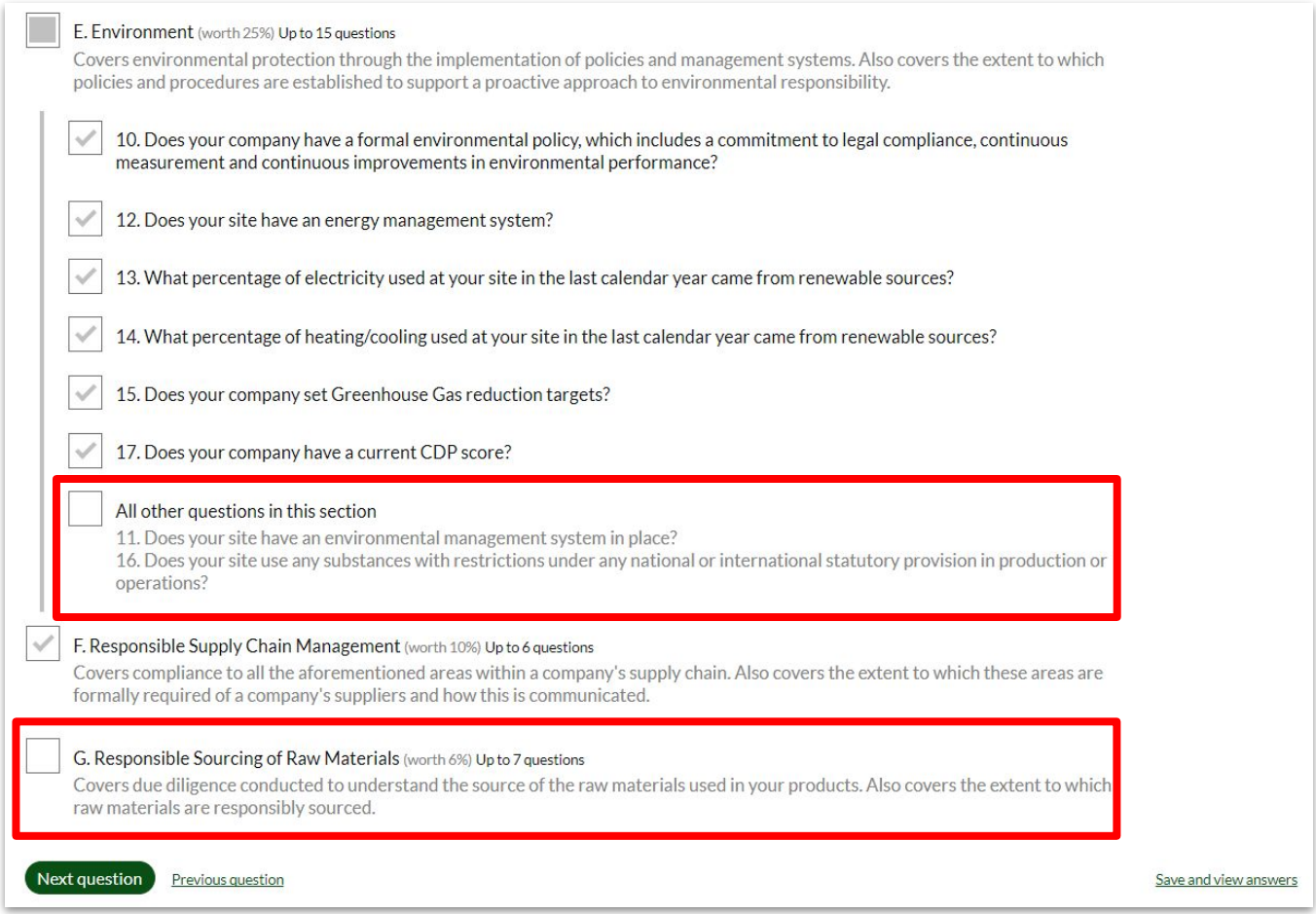
NACE codes

NACE Code selection

When completing an SAQ 5.0, you will be asked to select a relevant NACE Code for the product or service that you provide.

Once selected, some SAQ questions or sections may be optional.

Some optional questions may be required by your Customer.



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Uploading evidence

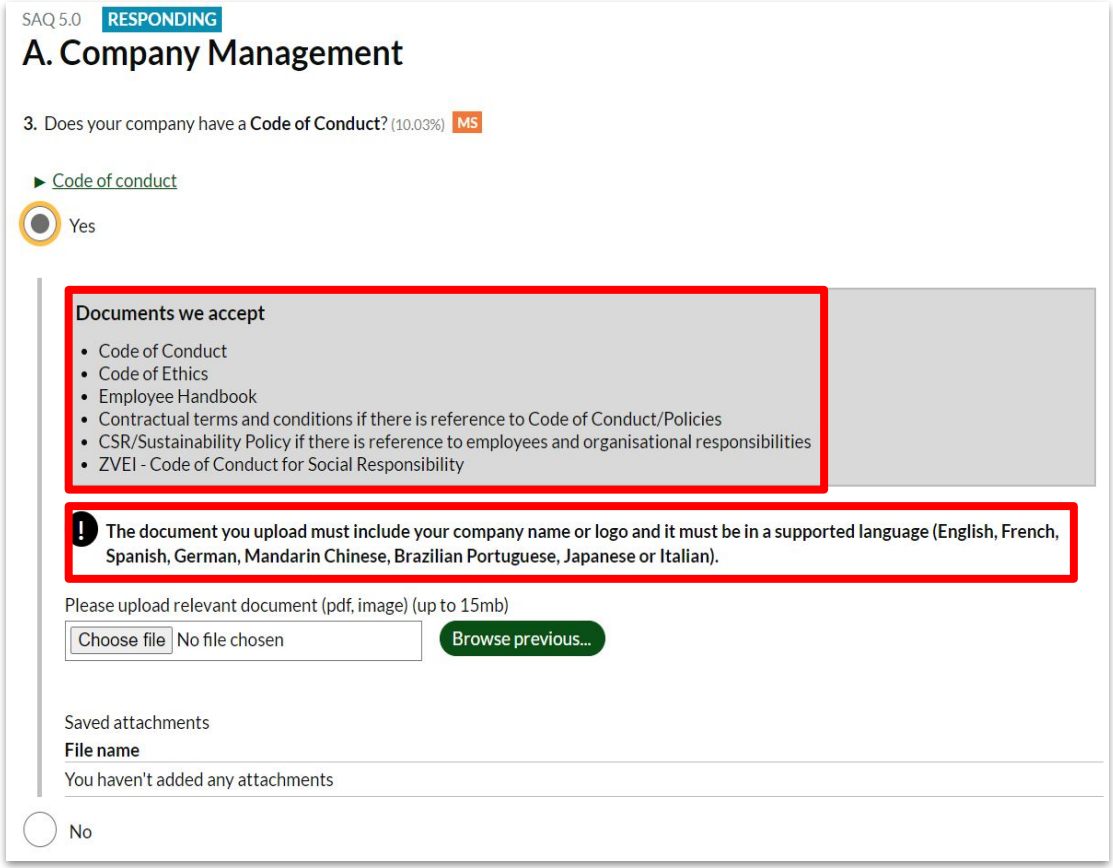
Some responses in your SAQ will require evidence to be provided

We will provide you with guidance onto each question and “Documents we accept” for your reference.

Additionally, some of the documents you upload **must** be in one of the supported languages, which will be highlighted if required.

Supported Languages:

- English
- French
- German
- Spanish
- Mandarin Chinese
- Brazilian Portuguese
- Japanese
- Italian



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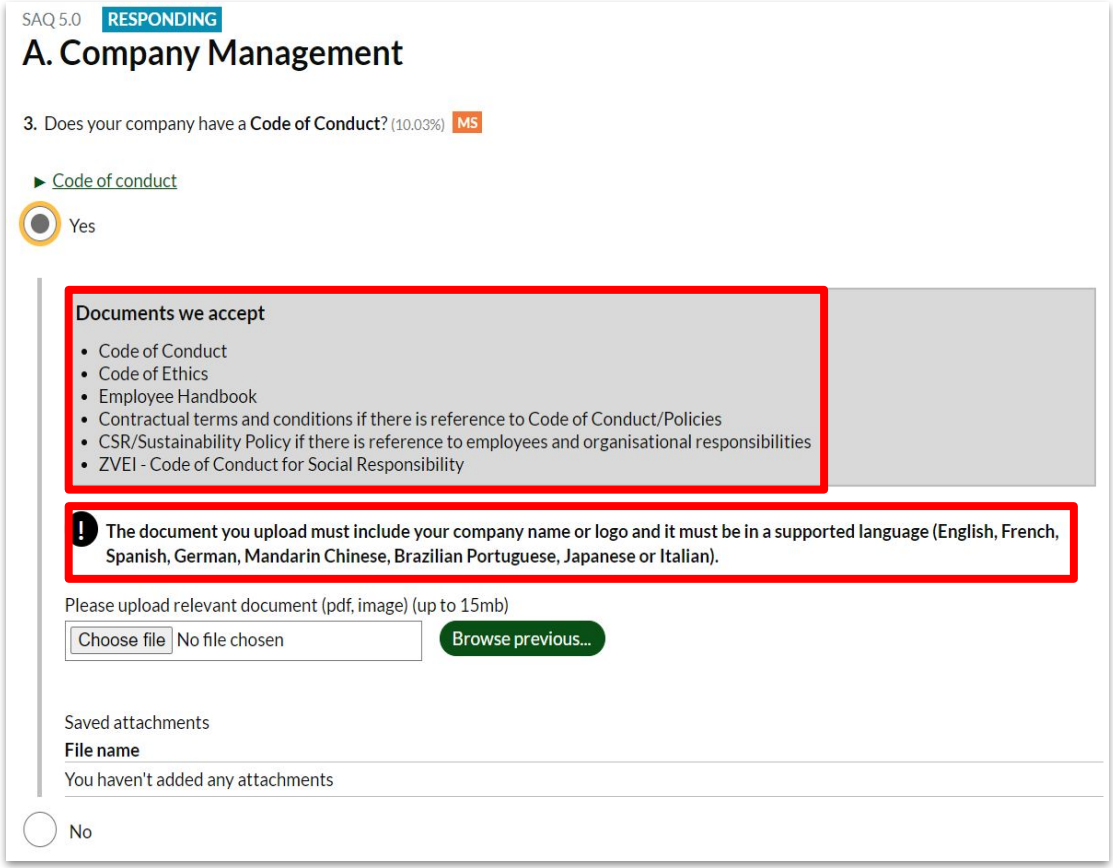
Uploading evidence

Some responses in your SAQ will require evidence to be provided

If your original documents are not in one of our supported languages, then you are able to provide a translation.

The translation does not need to be an official translation.

If you need to upload two separate documents, you are able to merge them and upload them as one.



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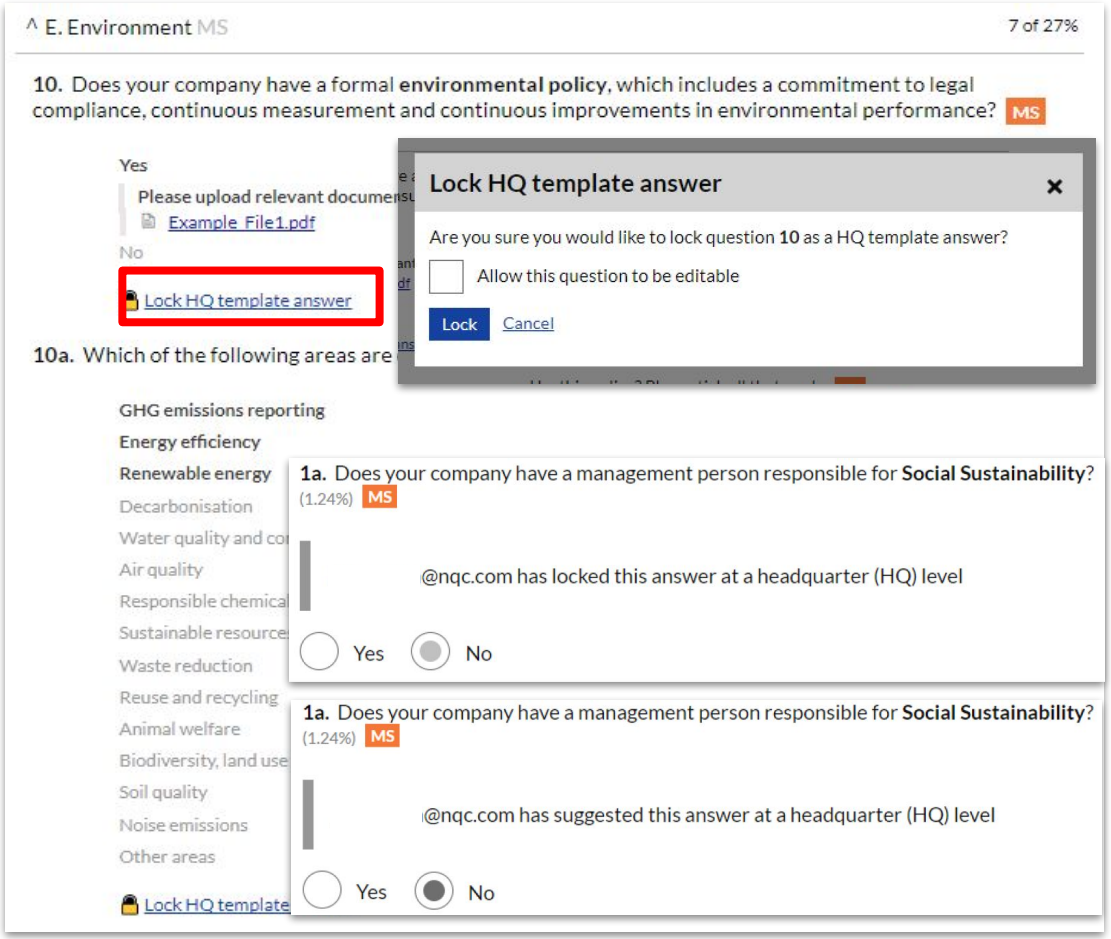
Headquarters (HQ) template

Locking responses as a HQ template

Platform users with the relevant permissions, will be able to set a corporate headquarters (HQ) SAQ template.

This will enable corporate policies to be set across all SAQs completed on the organisations account.

This feature extends the existing ability to re-use answers or documents uploaded across multiple SAQs.
To now include the option to lock certain answers or uploads to stop them being edited by other supplier users on an organisation account.



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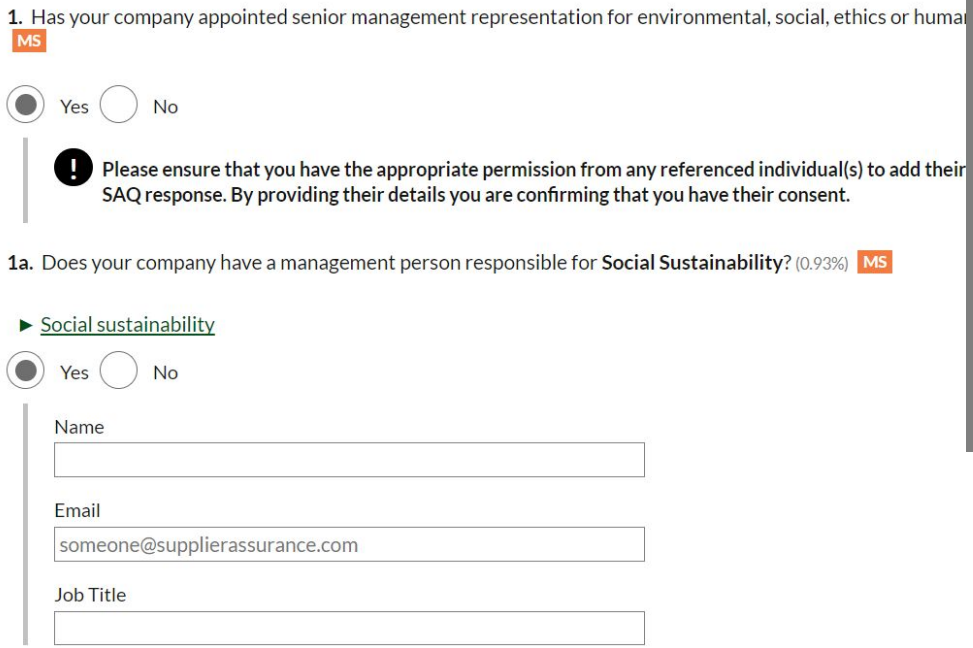
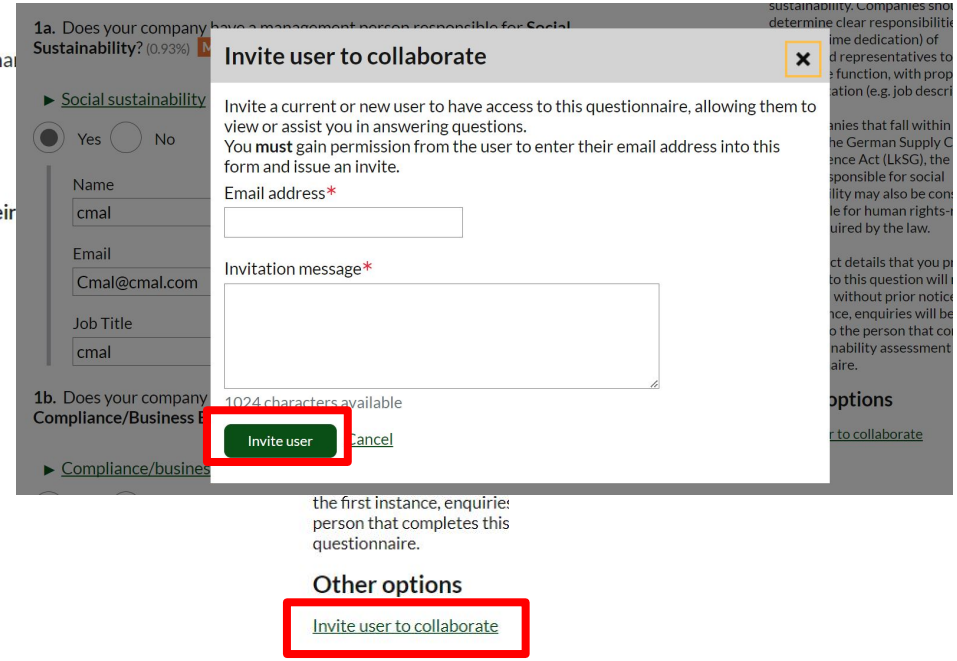
Inviting a colleague to collaborate

You can invite a colleague to collaborate on a specific question

If you feel like your colleague would be better placed to answer a certain question, you can invite them by clicking on “Invite user to collaborate” under “Other options”.

Simply enter their email address, and a message if necessary, then click “invite user”.





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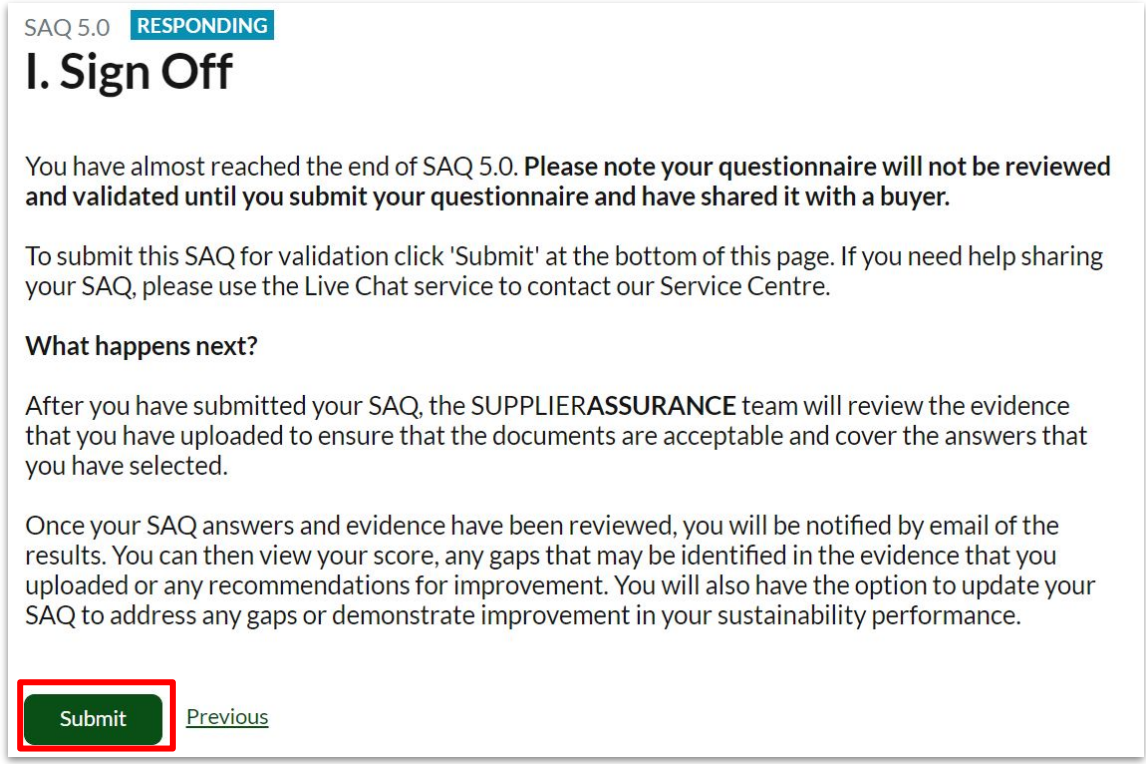
Submitting your SAQ 5.0

Submit your SAQ 5.0 answers

Once you have answered the SAQ 5.0, press “Submit” on the final page.

If your SAQ is already shared with your buyer, your answers and uploaded evidence will now be reviewed by our team.
If not, please share your SAQ with the buyer.

After validation of your SAQ is complete, you may receive some recommendations and gaps to guide you on how to improve your sustainability performance and SAQ Rating.



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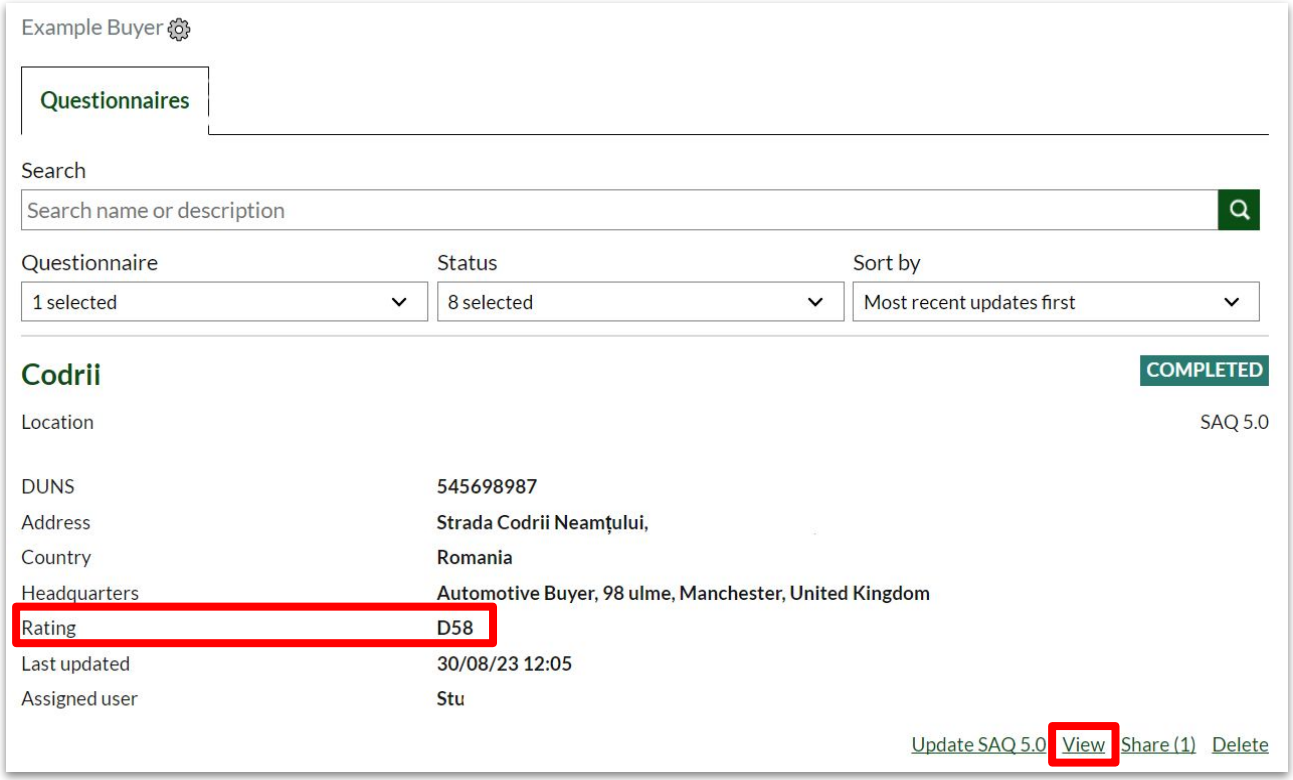
Reviewing your SAQ results

Once in the Completed status you can see your SAQ Rating.

From your Dashboard you can see the Completed SAQ now has a score and a rating.

To view further information and any Gaps/Declaration Gaps you may have select the "**View** " option at the bottom of the tile.

You should update your response as often as needed and following the feedback from the NQC compliance analysts.



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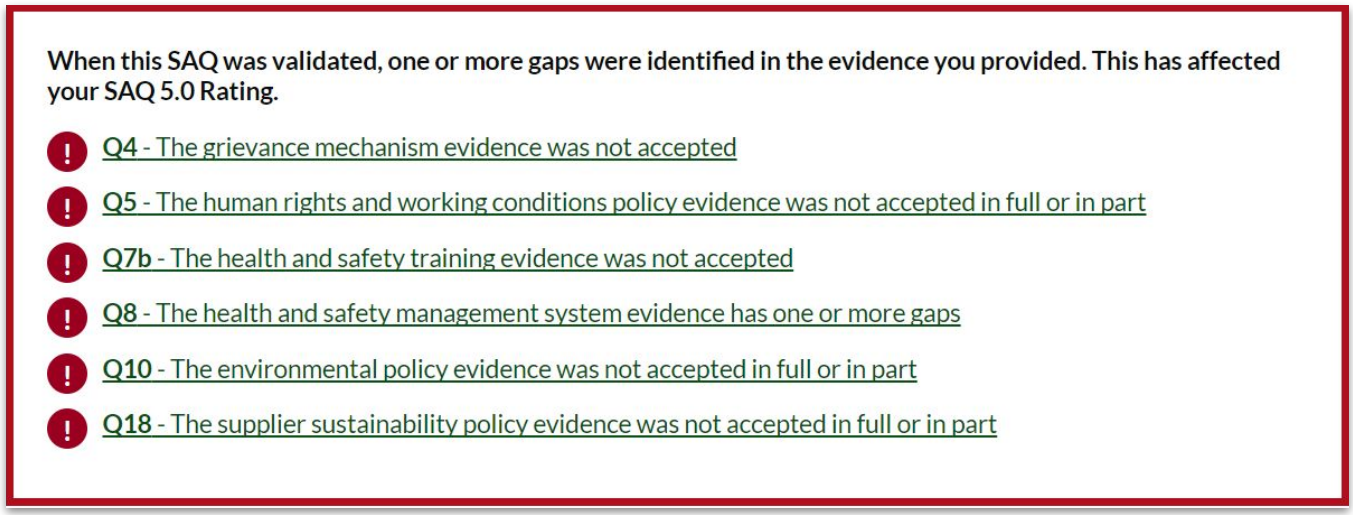
Gaps and Declaration Gaps

(Reviewing) Gaps and Declaration Gaps

The SUPPLIER**ASSURANCE** Compliance Analysts will review your evidence against the criteria of the question asked.

Where you have declared topics covered in your evidence and the team do not find this, a **GAP** will be raised to inform you of the error and you will not be awarded the score for the relevant option.



It will remain your responsibility to take action upon the findings of the validation process and update your SAQ as needed for your buyer.

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Gaps and Declaration Gaps

(Reviewing) Gaps and Declaration Gaps

The Compliance Analysts may also raise a **DECLARATION GAP** where you did not select a topic which was covered in the evidence provided.

Example of a GAP and a DECLARATION GAP:

> **Gaps**
> Validation of the health and safety policy identified that:
> - Emergency preparedness policy area not found in the evidence
> - Workplace ergonomics policy area found in the evidence but not declared

It will remain your responsibility to take action upon the findings of the validation process and update your SAQ as needed for your buyer.

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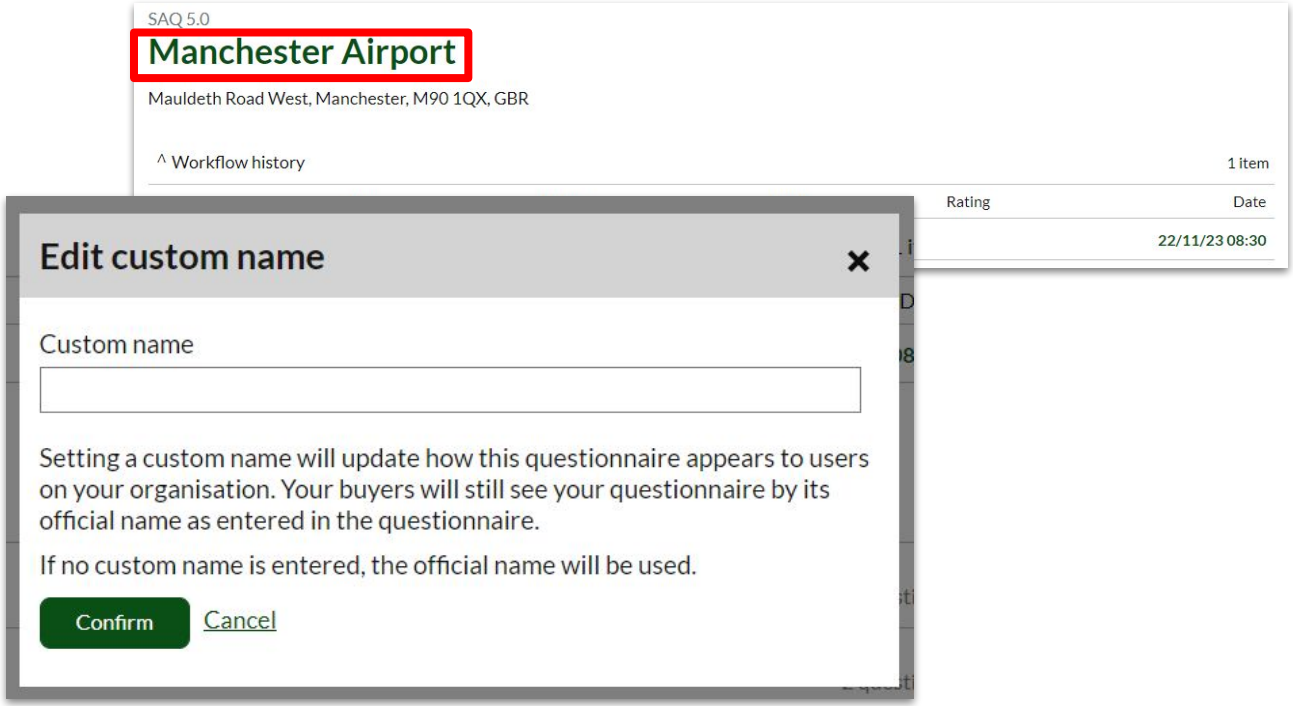
Editing your SAQ custom name

Editing your SAQ custom name

You are able to edit a custom name for your SAQ. The name will only be displayed for users from your organisation, your buyers will still see the SAQ by its official name.



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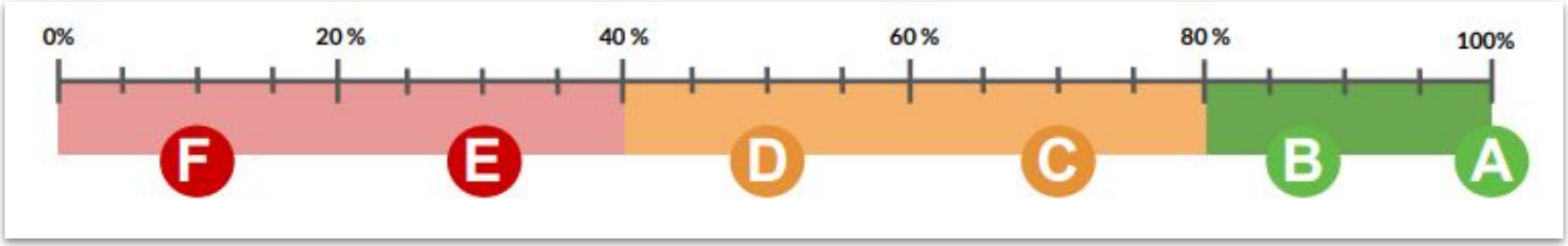
SAQ 5.0 Scoring

Scoring within SAQ 5.0

- **Minimum Scope Rating** - provides suppliers with a rating from A to F to indicate their performance, which is solely based on the Minimum Scope questions.



- **Sustainability Score** - provides a total score based on all questions.

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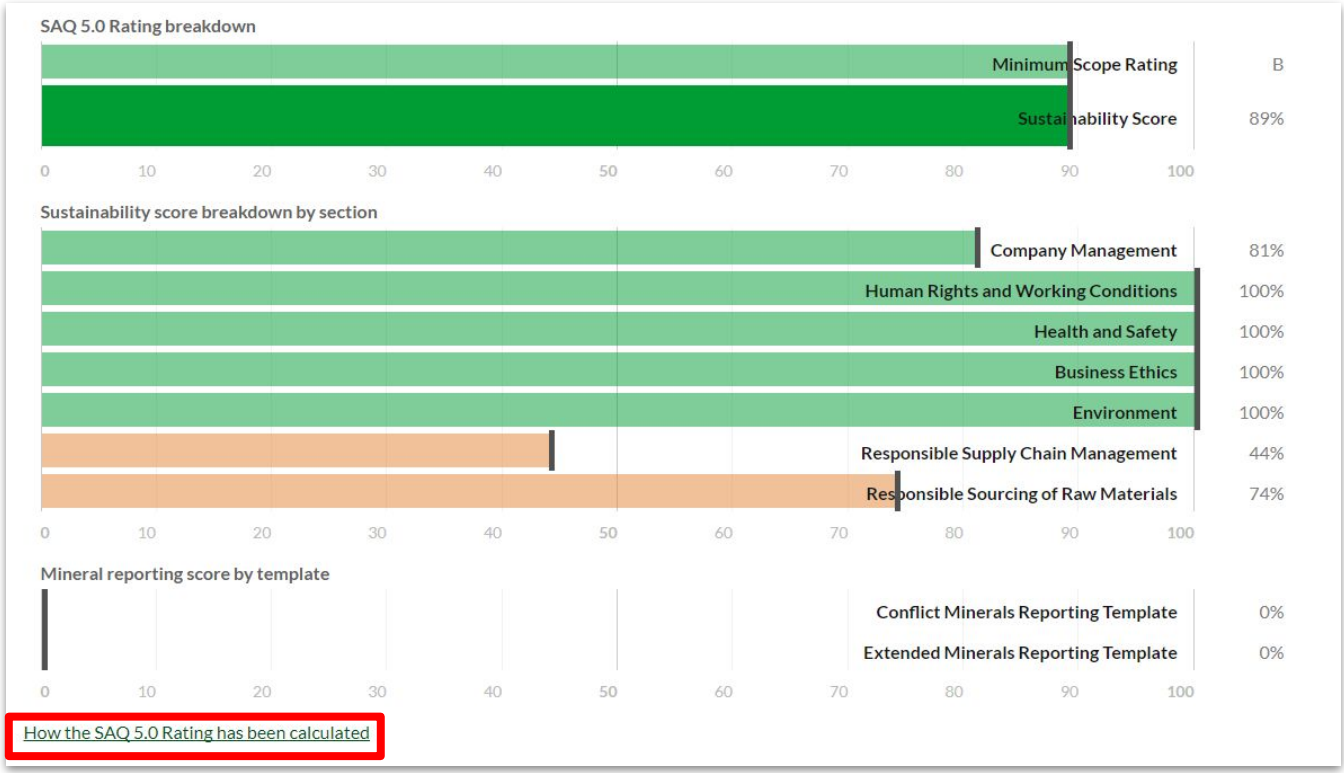
SUPPLIER ASSURANCE

SAQ 5.0 Scoring

You can download a copy of the Scoring Calculator document at the link below the score breakdown to see the percentage of points awarded for each section and question in the SAQ 5.0, and to see the maximum number of points that can be awarded in that section. If the question has more than one answer choice, the number of points you can earn for each answer choice will vary.



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SAQ 5.0 Scoring

Common reasons for a low score:

- Incorrect type of document uploaded
- Uploaded document does not contain company name/logo or is not in a supported language
- Only the table of contents / or the cover page is uploaded as evidence
- Suppliers answer “no” but the parent company has the relevant document : always check with your HQ

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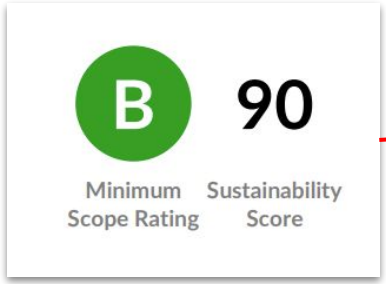
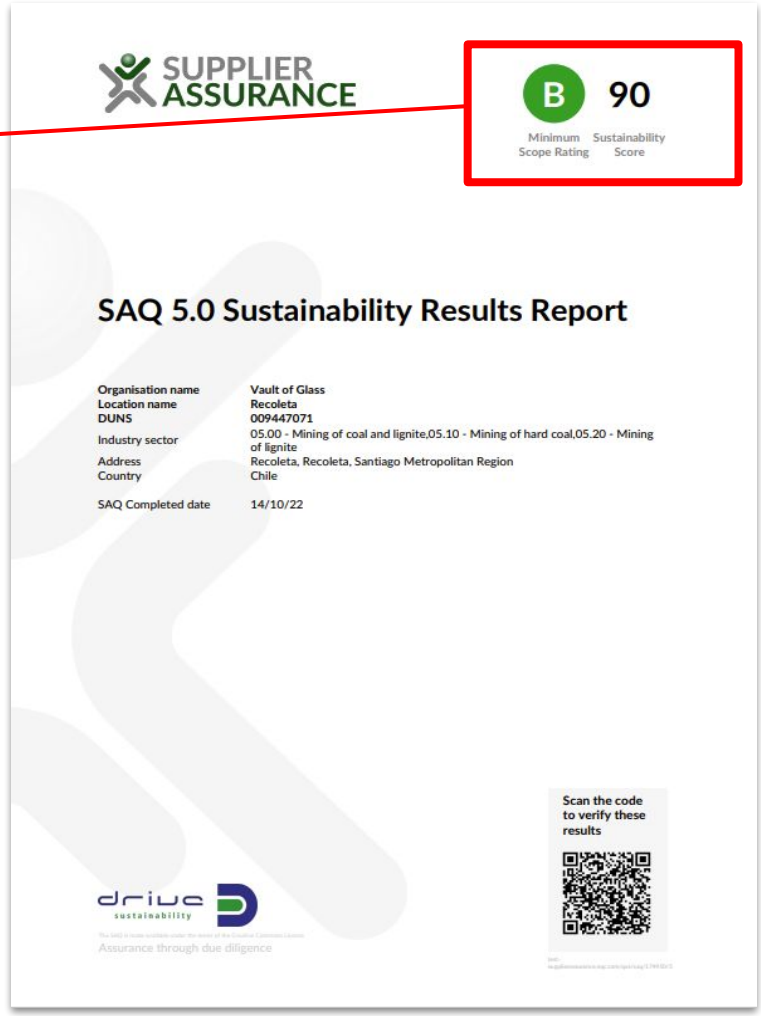
SAQ 5.0 Report

The SAQ 5.0 report has been updated to reflect the new scoring approach.

The Minimum Scope Rating (and associated colour) is shown alongside the percentage which is your Sustainability Score.

The two components together provide the overall SAQ 5.0 Rating





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Additional support

In case of any questions, contact our multilingual SUPPLIER**ASSURANCE** Support team via:

- Contact Us form
- Live Chat - once signed in to the platform
- Support team - +44 161 413 7983
- Validation hotline - +44 161 521 6957

Visit our SUPPLIER**ASSURANCE** SAQ page here, which contains:

- Supplier Briefing recording
- SAQ 5.0 Change Record document
- Updating your SAQ 4.0 to SAQ 5.0 version

Visit our SUPPLIER**ASSURANCE** help page here, which contains:

- Help videos
- FAQs

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SUPPLIER ASSURANCE

Platform Demonstration

Q: Will the whole service remain free of charge?
A: Yes, the SUPPLIER**ASSURANCE** platform will remain free of charge for suppliers.

Q: Will optional questions have an impact on a suppliers score?
A: Yes, if your organisation's NACE® code classification determines that not all questions are Minimum Scope, these remaining sections will be optional to complete but will still contribute to the Total SAQ Score. However, your Minimum Scope score will not take into consideration the optional questions and will be calculated from the Minimum Scope questions only.

Q: Which Minimum Scope rating is deemed to be a pass?
A: There is no pass or fail score within the SAQ. Upon completion and validation of the SAQ, you will receive a Minimum Scope score between A - F, and a total score in a percentage format with a RED, AMBER, GREEN rating. If a customer has a particular pass level they will communicate this to you directly.

Q: When is the deadline for update to SAQ 5.0?
A: There is no time limit or restrictions for suppliers to update their SAQ on SUPPLIER**ASSURANCE**. If your customer requires you to complete or update the SAQ by a certain date they will communicate this to you directly.

Q: With SAQ 5.0 being live, does this mean we cannot create an SAQ 4.0? Does this also mean any SAQ we create will become an SAQ 5.0?
A: Yes, all SAQ questionnaires will be automatically updated to SAQ 5.0. You will no longer be able to create any SAQ 4.0.

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Q: How long will my SAQ 4.0 score be valid for?
A: In December, all SAQ 4.0's have been updated to SAQ 5.0. Your SAQ 4.0 score will be valid until you update your SAQ to answer the new questions included in SAQ 5.0 and achieve a Minimum Scope score alongside your updated SAQ 5.0 total score.

Q: Do I have to be invited by a customer to create an SAQ 5.0 questionnaire?
A: No, it is free to register on SUPPLIER**ASSURANCE** and create an SAQ 5.0. You can provide all question answers and upload evidence, however, your SAQ will not be validated or produce a score unless it is shared with a customer. Once shared with a customer, the SAQ 5.0 will be automatically validated and moved into COMPLETED. As a supplier, you are still encouraged to create an SAQ 5.0 in readiness to share when requested by a customer.

Q: Is the SAQ 5.0 available as a downloadable file or only available through the platform?
A: The PDF version of SAQ 5.0 is available to download through the questionnaire itself or found under the dedicated SAQ page

Q: Is there a possibility to upload two documents as evidence for one question?
A: No, you can only upload one document per question. If there are multiple pieces of supporting evidence, you can merge these into one document.

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