
Protocol number:	SL-PRT-001.003	Revision number:	1
Original effective date:	May 6, 2024	Pages:	15
Revised effective date:	Dec 16, 2024	Reviewed date:	Dec 16, 2024

SOLENIS PROTOCOL

Supplier Risk Assessment

1. Protocol Purpose

Supplier Risk Assessment protocol explains process steps to proactively identify, assess, and mitigate supplier risks to safeguard our operations, maintain our reputation and deliver additional value to all our stakeholders.

2. Scope

- **Why monitoring Supplier Risk?**

Proactively managing supplier risk means ensuring Solenis Suppliers are meeting our requirements. This is supporting Solenis' objective to enhance supplier relationships, drive innovation, and build a robust Value Chain that can avoid potential disruptions.

- **Who is Solenis' Supplier Risk Assessment Program Partner?**

GRMS (Global Risk Management Solutions) – supports companies by providing innovative supplier risk management programs that assist companies to reduce exposure to global business risk and liability in over 120 countries:

- The Program is designed to streamline the collection of supplier data and documents.
- Management of key information regarding regulatory compliance
- Compliance status as well as business operations of our suppliers

- **Which Suppliers are in scope of Solenis' Supplier Risk Program?**

Suppliers in scope of this program are Direct Suppliers who:

- are delivering products to Solenis on a regular basis for the past 12 months.
- Will be delivering products to Solenis on a regular basis.

- **When do we do Risk Assessments?**

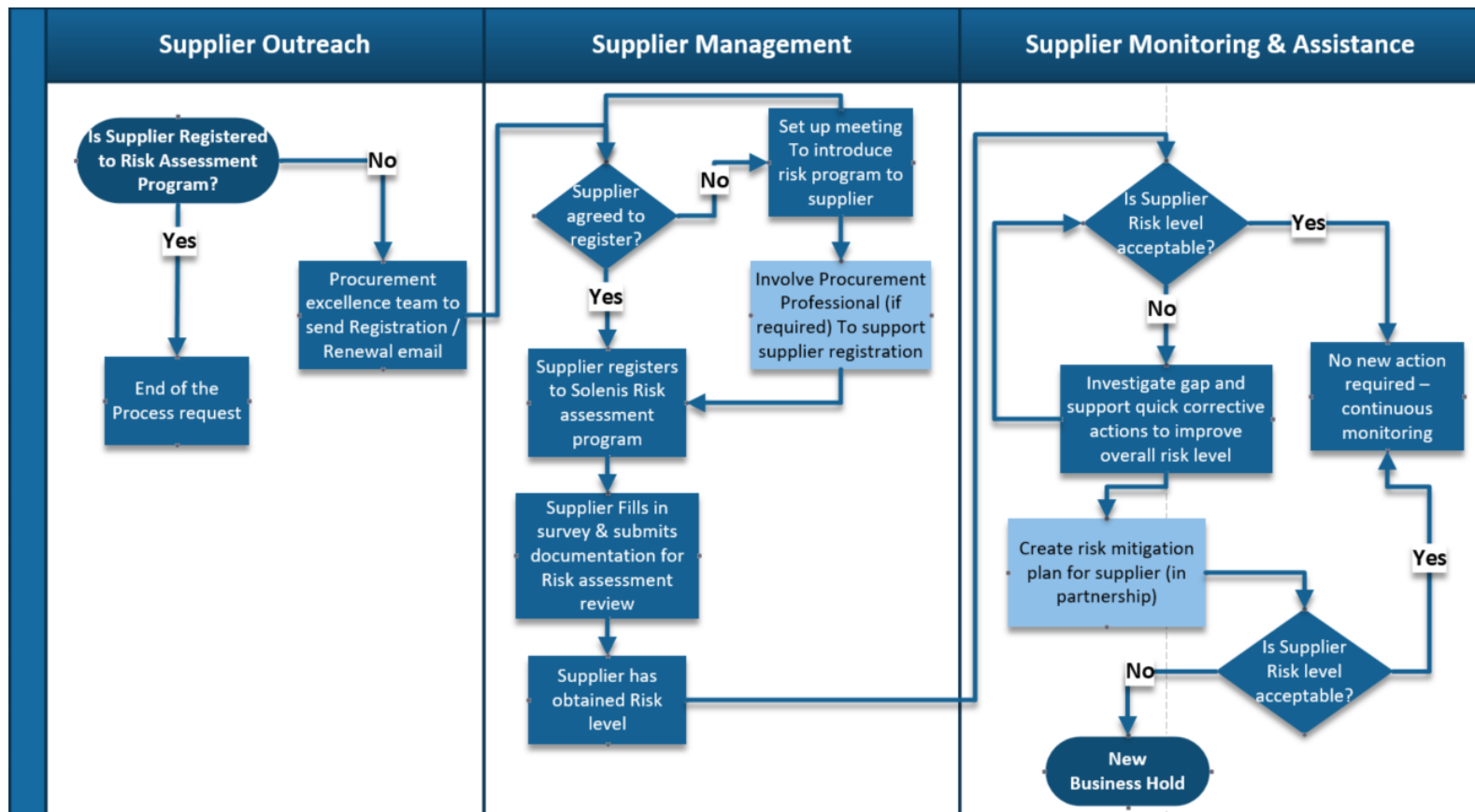
Solenis Supplier Risk Assessment program including environmental, social and governance (ESG) criteria is conducted during:

- Supplier selection
- Supplier onboarding / Part or Requirement for Direct Supplier Onboarding Process (post completion of vendor request form - [Click Here](#))
- Continuous Supplier Risk Monitoring for Existing and Potential Suppliers

3. Internal References

- a) [Solenis Supplier Code of Conduct](#)

4. Supplier Risk Assessment Process Flow



Process Stakeholders

- **Procurement Professional** – Buyer / Category Manager / Regional Director
- **Supplier** - Third Party entity selling products and/or services to Solenis. This includes Direct Suppliers, Subcontractors, Consultants & Indirect Suppliers.
- **Procurement Excellence Team** – Supplier Risk Management team ensuring registration and management and monitoring of supplier on the platform.
- **Requestor** – Could be the Procurement Excellence team or the Procurement professional.
- **Finance** – Assisting in low financial risk scores for approval or corrective action plan to proceed.

5. Supplier Risk Assessment Onboarding Questionnaire:

As part of Supplier registration to Solenis Supplier Risk assessment program through GRMS (Global Risk Management Solutions), Supplier has to answer to below questions (listed by Risk component).

Sections	Sustainable Procurement Policy & Survey Questions
Sustainability	<ul style="list-style-type: none"> • Are you assessed by a Global ESG Ratings provider and scored medium or above? • Does your company have a Sustainability Policy? • Does your company have a Sustainability Report? • Does your company have a goal and programs to Reduce Energy Use? • Does your company have a goal and programs to Reduce Packaging Material? • Does your company have a goal and programs to Reduce Waste Generation? • Does your company have a goal and programs to Reduce Water Use? • Does your company have a goal and programs to reduce Greenhouse Gas (GHG) Emissions? • Does your company have initiatives to use renewable energy [i.e., biomass, solar, wind, or purchase renewable energy certificates (RECs)]? • Does your company respond to the Carbon Disclosure Project (CDP)?
Security	<ul style="list-style-type: none"> • Do you subscribe to CTPAT or equivalent?
Certifications (ISO / RC)	<ul style="list-style-type: none"> • Are there effective measures to ensure security of all materials? • For the sites supplying Solenis with materials, has your company obtained RC 14001 certification? • For the sites supplying Solenis with materials, has your company obtained ISO 14001 certification? • For the sites supplying Solenis with materials, has your company obtained OHSAS 18001 / ISO 45001 certification? • For the sites supplying Solenis with materials, has your company obtained ISO 9001 certification? • Is your company a member of a chemical trade association that participates in the International Council of Chemical Associations (ICCA)?
Environmental	<ul style="list-style-type: none"> • Does your company have an Environmental Policy? • Does your company assess the environmental impact of its operations? • Does your company measure and publicly report Environmental Information (i.e., through an annual environmental, sustainability, or corporate socially responsible/CSR report)? • Does your company plan and carry out internal environmental audits? • Does your company monitor emissions to land, water, and air from the manufacturing process?
Product Stewardship	<ul style="list-style-type: none"> • Does your company use a Product Stewardship/Lifecycle approach to reduce the environmental impact of its products and operations? • Does your company make energy and natural resources key considerations when it designs, develops, and improves its products and processes? • Does your company provide all health safety information (i.e., research, studies, toxicology, and epidemiology information, etc.) related to its products? • Does your company have a formal incident investigation program in place for product incidents? • Does your company have programs, standards, or procedures to identify and reduce potential health safety hazards related to its products? • Does your company provide on-site consultation for customers in safe handling, use, and storage of its products? • Does your company respond to requests for emergency support, from any point in the supply chain, for its products on a 24-hour basis?
Safety	<ul style="list-style-type: none"> • Is your site PSM / Seveso regulated? • Has National authorities inspected the site more than once a year during last 4 years? • Please indicate Number of Emergency shutdowns during last 4 years • Please indicate the number of forced shutdowns from the National authorities due to legal violations during last 6 years • Please indicate the number of notices of violation from the National authorities during last 6 years • Please indicate LTI Lost Time Injury Incidence Rate of last 4 years • Please indicate the number of fatalities during last 5 years

Evaluation of Supplier own supply chain	<ul style="list-style-type: none"> • Does your company ask its value chain partners (warehouses, distributors, and carriers) to immediately report incidents (e.g., spills) associated with the handling or use of its products? • Does your company periodically review the performance of its suppliers? • Does your company periodically review the performance of its distributors, customers and other direct product receivers to foster proper use, handling, recycling, disposal and transmittal of appropriate information to downstream users? • Does your company plan and carry out supplier audits? • Are you willing to let a representative from Solenis visit you to take part in your sustainability work?
Health, Safety and Environmental	<p>Does your company have a Health and Safety Policy</p> <p>Does your Company have goals and programs to prevent and reduce work related employee injuries and illness</p> <p>Does your company have an emergency preparedness response plan for a catastrophic incident affecting workplace safety?</p> <p>Does your company have ethical and legal employment practices assuring compliance with all applicable employment laws impacting employees and suppliers?</p> <p>Does your company plan and carry out internal health and safety audits?</p> <p>Does your company have a program or procedure to ensure confidentiality and protection of workers that report suspected violations of ethical misconduct?</p> <p>Does your company have written policies and programs to establish and maintain a diverse workplace environment?</p> <p>Are the minimum hiring age and minimum wages for your employees in accordance with local/national laws?</p> <p>Has your company been adjudged to have violated, or been the subject of any suit, claim, inquiry or investigation alleging its violation, of applicable laws, rules and regulations pertaining to forced, bonded or compulsory labor or human trafficking and slavery?</p>
Human Rights, Labor Laws, and Policies Solenis expects suppliers to commit to protocols and regulations.	<ul style="list-style-type: none"> • Does your organization: <ul style="list-style-type: none"> ○ Engage in, or support child labor practices? ○ Ensure that all their employees meet the minimum age required by law? ○ Engage in, or support forced, or compulsory labor as defined by the Convention Concerning Forced or Compulsory Labor, 1930 (No.29), including prison, bonded, indentured, slavery and human trafficking practices? ○ Ensure that all work performed is voluntary and employees have the right to terminate employment with reasonable notice? ○ Enforce with existing suppliers to agree to the principles contained within our Supplier Code of Conduct, which specifically addresses slavery and Human trafficking concerns? ○ Modify new raw material supplier qualification process to ensure Supplier Code of Conduct compliance and other risk monitoring factors are determined before a new supplier is onboarded? ○ Ensure Compensation should be uniform regardless of race, color, national origin, religion, gender, age, disability, marital or partnership status, sexual orientation, veteran status, political beliefs, or any other legally protected personal attribute within each jurisdiction? ○ Impede employee rights to collective bargaining or freedom of association? • Does your organization also agree that: <ul style="list-style-type: none"> ○ Suppliers shall not discriminate against employees based on race, color, national origin, religion, gender, age, disability, marital or partnership status, sexual orientation, veteran status, political opinions, or any other personal characteristic protected by law in each locality?

Following the questionnaire completion, the supplier has to upload documentation to justify answers provided to the questions above. Documents required are listed below (If the documents aren't listed below that means the Risk assessment does not require a document upload but information for that Risk component will be generated by our Risk assessment partner):

- General Supplier Organization Information
 - Headquarters information
 - Supplier Point of Contact information.
- Sustainability / ESG Certificate (Or Sustainable Procurement Survey to be filled if not)

- Supplier Sustainability Policy
- Supplier Environmental Policy
- ISO / RC Certifications

○ ISO 9001	○ ISO 24000	○ ISO 26000	○ ISO 14001
○ ISO 45001	○ RC 14001	○ OHSAS 18001	
- Supplier latest Annual ESG / Sustainability Report
- Experian Financial Risk Profile / Equifax Business Report
- Supplier's Code of Conduct (if Solenis CoC is not accepted by Supplier)

6. Risk Scoring Explained

Specific To?	Risk Component	Risk Scoring Breakdown
	Sustainability	
All Solenis Suppliers	Solenis Supplier Code of Conduct	22.2
All Solenis Suppliers	Sustainable Procurement Policy & Survey including Human Rights	22.2
	Financial Stability	
All Solenis Suppliers	Equifax Business Credit Score / Experian International Profile / Bankruptcy Monitoring	11.1
All Solenis Suppliers	Experian Financial Stability Risk Score (FSR / GDN) / Equifax Business Credit Score	11.1
All Solenis Suppliers	Judgements Monitoring	11.1
All Solenis Suppliers	Liens Monitoring	5.6
	Regulatory Compliance	
All Solenis Suppliers	Global Watch List and Adverse Media Monitoring	11.1
	Social Responsibility	
Solenis US and Canada	Diversity Status Verification (Add On)	10
	Additional Information	
All Solenis Suppliers	Tax Form (W9 / W8 BEN-E)	5.6
	Total	100

Risk Assessment Scoring introduction:

Supplier answers and documents provided are reviewed and assessed. System automatically generates an overall Risk score. Risk level definition is aligned to following risk scoring methodology:

Overall Grade	Overall Score
Low Risk ●	70 and more score
Medium Risk ●	40 to 70 score
High Risk ●	0 to 40 score

For Suppliers with a Medium and High-Risk level, Procurement Excellence team will run deep dive analysis to identify gaps. When necessary, Procurement Excellence team will involve responsible Procurement Professional and Supplier to work on risk mitigation plan including detailed corrective action plan and defined timeline. A deep dive analysis will be conducted for

each risk criteria marked as “**Alert – Needs Client Review**”. Once Supplier has submitted requested documents or demonstrated improvement, the criteria switches to “**Alert – Under Client Review**” until review is finalized, and scoring is actualized.

For each risk component for which a mitigation plan has been completed and risk has been mitigated, the risk component will be marked as ‘**Pass-Exception Granted**’ on Solenis risk assessment platform.

7. Sustainable Procurement Survey – Framework, Scenario and Corrective Action Plan

The table below outlines the potential scenarios and corrective action plans linked to Supplier Risk Assessment.

Risk Rating Components	Outlined Scenario / Framework	Required Proof / Evidence	Risk Scoring Status	Outcome / Corrective Action Plan
Sustainability Rating (Recognized Global ESG Rating or Equivalent)	If Supplier is Bronze or Above	Sustainability Certificate (Bronze or Higher)	Compliant - Low Risk	Work to Increase rating with Supplier
	If Supplier is below Bronze or Does not have ESG or Sustainability Rating	Procurement Sustainable Policy & Survey Questionnaire (Score aligned to certification)	Compliant - Low Risk	Align Survey score with Rating. If score is too low, build corrective action plan with Category Manager & Supplier
	If Supplier does not have certification and has not completed the Sustainable Survey	Provide the missing documentation for Sustainable Procurement Policy and Survey	Fail-No Document Non-Compliant - Medium or High risk	Reach out to Supplier for providing the correct documentation (example - Environmental or Sustainability Policy)
Solenis Sustainable Procurement Policy & Survey (including Human Rights assessment)	In absence of Sustainability / ESG Rating	Procurement Sustainability Policy & Survey Questionnaire	Compliant - Low Risk	Align Survey score with Sustainability / ESG Rating
	If Survey is not filled / incomplete	Request supplier to fulfill survey requirements	Fail-No Document Non-Compliant - Medium or High risk	Reach out to Supplier to ensure information on the survey has been completed
	If Survey is filled and not compliant	Procurement Sustainability Policy & Survey Questionnaire	Non-Compliant - Medium or High risk	Work with supplier to include relevant information and draw an action plan to improve sustainability initiatives and targets. If a risk linked to Human Rights is identified, we'll run a secondary level of due diligence (Section 8).
Diversity Status Verification	If Supplier selects 'Diverse' checkbox	Supplier to provide Diversity status certificate	Compliant - Diverse	No Action needed, supplier is categorized as Diverse on Risk assessment and Supplier Diversity platform
	If Supplier selects 'Diverse' checkbox	Supplier is not diverse hence no certificate submitted	Fail-No Document	If Supplier claims to be Diverse, reach out to supplier to receive authentic documentation for Diversity status

	If Supplier is Not Diverse	No evidence required	Compliant - Low Risk	No Action needed, continue to monitor performance based on other Risk components
Experian Risk Score (FSR / GDN) or Equifax Risk Report	If the Financial Stability is Low Risk	Financial Stability History for 60 Months or 5 years	Compliant - Low Risk	No Action needed, continue to monitor performance
	If the Financial Stability is Medium or High Risk	Financial Stability History for 60 Months or 5 years	Non-Compliant - Medium or High risk	Recommended Action - Consult with Finance to understand whether risk is acceptable or not. If necessary, involve Supplier. Supplier failed to provide proof. Work with supplier and finance team (if required) to build a corrective action plan.
Solenis Supplier Code of Conduct	If Supplier agreed to Solenis Code of Conduct	Supplier Signed Solenis Code of Conduct through GRMS	Compliant - Low Risk	No Action needed if supplier agreed to Solenis Code of Conduct
	If Supplier did not agree to Solenis Code of Conduct	Supplier to send their Code of Conduct for Solenis to review with Legal team	Fail-No Document Non-Compliant - Medium or High risk	Recommended Action - Mark Pass-Exception Granted if Supplier is part of UN 10 Global Compact. Send Supplier CoC to Legal if above is not fulfilled and Solenis CoC is not agreed by Supplier
Global Watch list and Adverse Media Monitoring / Judgements Monitoring	No Derogatory News Media Files and Watchlist Found	Confirmation on Risk assessment platform	Compliant - Low Risk	No Action needed if no derogatory news media found in the last 60 months
	Derogatory News Media found impacting the Supplier reputation	Source of offence / lawsuit and explanation on Risk assessment platform	Fail-No Document Non-Compliant - Medium or High risk	Recommended Action – Reviewed by Category Manager and Approved
Experian GDN Financial Stability / Bankruptcy Monitoring	No Financial Instability, bankruptcy found in the last 60 months	Compliance on Risk Assessment platform	Compliant - Low Risk	No Action needed if there is no financial instability discovered in the last 60 months
	Financial instability or Bankruptcy record found within the last 60 months	Bankruptcy record on Risk assessment platform	Fail-No Document Non-Compliant - Medium or High risk	Recommended Action – Reviewed with Finance to receive approval. If not, consult category manager for New Business Hold
Tax-Form (W8-BEN-E)	Canadian Suppliers to provide the authorized and relevant Tax Form	Completed Tax Form on Risk assessment platform	Compliant - Low Risk	No Action needed if supplier has completed filling the Tax Form
	In case of incomplete Tax Form	Supplier to complete Tax Form	Fail-No Document Non-Compliant - Medium or High risk	Reach out to Supplier to ensure Tax Form has been completed
Tax-Form (W-9)	Suppliers within the US to provide Tax form W-9	Completed Tax Form on Risk assessment platform	Compliant - Low Risk	No Action needed if supplier has completed filling the Tax Form

	In case of incomplete Tax Form	Supplier to complete Tax Form	Fail-No Document Non-Compliant - Medium or High risk	Reach out to Supplier to ensure Tax Form has been completed
Liens Monitoring	No outstanding unpaid liens pertaining to Supplier business	No records found for supplier within the past 60 months.	Compliant - Low Risk	No Action needed if there are no Unpaid Liens
	Outstanding and unpaid Liens discovered for the supplier	Liens Record / Filing Location / Legal Action / Status	Fail-No Document Non-Compliant – Medium risk	Recommended Action – Liens with higher unpaid amounts to be reviewed with finance for approval.
ISO/RC Certifications	Provide required ISO / RC certifications	ISO / RC Certifications on Risk assessment platform	Compliant - Low Risk	No action needed, review the supplier certification to ensure accuracy
	Not provided with relevant certifications	Supplier failed to provide relevant ISO / RC certifications	Fail-No Document Non-Compliant - Medium or High risk	Reach out to Supplier to provide the relevant certification for Compliance. Consult relevant stakeholders.
Environmental Health and Safety Policy	Supplier provided Environmental, Sustainability and EHS Policy	Policies to be uploaded to Risk assessment platform	Compliant - Low Risk	No Action needed, continue to monitor performance
	Supplier did not provide Environmental, Sustainability and EHS policy	Policies to be uploaded to Risk assessment platform	Fail-No Document Non-Compliant - Medium or High risk	Reach out to Supplier to provide accurate EHS / Environmental or Sustainability policy depending on the missing component
	Supplier has the policy but embedded together with different policies on supplier website	Combined policy to be uploaded in Risk assessment program-mentioning pages to refer for particular policy in comments	Compliant - Low Risk	Review protocol as per Solenis regulations and update Risk component rating accordingly.
Additional Question - SBTi (Science Based Target Initiative)	Is Supplier registered with SBTi?	Provide certification for SBTi registration	Compliant - Low Risk	No Action needed, continue to monitor performance
	If Supplier is not registered with SBTi	Other initiatives that Supplier is part of?	Fail-No Document Non-Compliant – Medium or High risk	No defined action plan for registering supplier to SBTi currently

8. Human Rights risk exposure - secondary level of due diligence

Any potential risk of human rights violations withing Solenis' supply chain, identified through our standard supplier risk assessment via Global Risk Management Solutions (GRMS) will prompt a deep dive investigation.

For Supplier(s) that are identified with a potential risk of Human Rights violation, a secondary level of due diligence will be conducted using a dedicated software solution, Kharon. This assessment enables Solenis to assess Tier 1 supplier risks as well as our suppliers' suppliers. This assessment occurs in two steps:

- **Isolating Key Pathways:** first step involves identifying the key pathways from each source of risk. These pathways represent the connections and relationships that link an entity or individual to a particular risk.
- **Weighting Relationships:** once the key pathways are isolated, the relationships within those pathways are weighted. This weighting process considers various factors such as:
 - **Relationship Type:** nature of the connection (e.g., ownership, control, financial transactions).
 - **Direction** of the relationship (e.g., direct or indirect involvement).
 - **Distance:** proximity of the relationship (e.g., first-degree connections versus more distant connections).

After weighting the relationships, an aggregate score is generated to reflect the overall exposure to a specific source of risk. Scoring methodology goes from 0 to 100. Higher scores reflect stronger risk exposure, featuring direct and significant connections such as ownership and control. Lower scores reflect more moderate or indirect risk exposure.

If a supplier has a score >60, the supplier will be contacted to gather additional details and evidence for a thorough risk assessment. Where necessary, a dedicated remediation plan will be developed and implemented to mitigate the risk. Should the risk persist post remediation plan, it could result in suspending the allocation of new business until the issue is fully resolved.

9. Process Deep Dive:

Enrolling a supplier to Solenis Supplier Risk Program?

As part of Solenis Direct Supplier's qualification, Suppliers are required to participate to our Supplier Risk Assessment Program. They have to enroll to this program using GRMS platform – Solenis Risk Assessment Program Introduction ([This link can be shared directly with Suppliers](#)). In order to enroll a supplier to Solenis Supplier Risk assessment program, follow the below listed steps:

- Gather details for the supplier that you would like to have registered and send the information to Procurement Excellence team:
 - Contact Representative information.
 - Supplier organization (Parent or Subsidiary)
- Procurement excellence team will check if supplier has already registered to the Risk assessment program.
 - **If Yes**, Procurement professional / Requestor will be informed of the current supplier risk rating.
 - **If not**, supplier will be added to the list and the invitation package will be sent to the supplier, cc'ing the Procurement professional for transparency.
- Follow up will be conducted in 1 week if there is no response from the supplier.
- After supplier response, Procurement excellence team will either set up a meeting or send an email briefing supplier about the registration process, document requirements and clarifications to be answered for the supplier.
- Supplier will provide documents and go through the registration process after which the Risk assessment will be live with a Risk rating for the supplier.

- Procurement excellence team will provide the overview to Procurement professional to add insight into decision making.
- Reference documents for Procurement Professional that are shared to the Supplier for Risk assessment onboarding and registration:
 - Risk Assessment Program Information - [Solenis Supplier Risk Flyer 2022.pdf](#)
 - Solenis Risk Assessment Program Overview presentation - [Solenis - Supplier Risk Management Program Overview - March 2024.pdf](#)
 - Supplier Invitation Email – Example - [GRMS Invitation Email - Suppliers.pdf](#)
 - Solenis Sustainable Procurement Survey - [Risk Assessment - Sustainable Procurement \(Responsible Care\) Policy and Survey.pdf](#)
 - Solenis Landing page on Risk Assessment Program - [Solenis Risk Assessment Program](#)

Logging in to GRMS (Global Risk Management Solutions) Platform:

- A user from your organization will create your access and you will receive a system generated email with your login credentials.
- Open your browser. as well as the latest versions of Chrome and Firefox are supported. Other Internet browsers are not officially supported by ASO.
- Navigate to the application URL. The web address for your company should be provided to you by an administrator. <https://veritas.globalrms.com/client/login.aspx>
- On the login screen, enter your e-mail address in the **Email Address** field.
- In the **Password** field, enter your password. If you have forgotten your password, you can select the **I Forgot my Password** link.
- Click the **Login** button. You will be taken to the Event List page.
- where you can select an existing event or create a new event.
- To exit from GRMS, click the **Log Out** link in the application menu sidebar.

For more details on Roles and Responsibilities along the process please refer to Appendix D.

10. Use and maintenance of this protocol

This protocol will be reviewed at least once per year by Procurement Excellence team.

11. Owner

Procurement Excellence Director - Global Procurement

12. Revision History

This is a history of notable changes to this protocol

Effective date	Section	Description of change
May 6, 2024	All	Document Creation
Dec. 16, 2024	7; 8	Added deep dive on Human Rights Risk Due dilligence

Appendix A – Points of Contact

Stakeholder	Name	Contact Email
Procurement Excellence	Solenis Supplier Risk Team	Supplierrisk@Solenis.com
GRMS (Global Risk Management Solutions)	Eric McArthur (CSR) Tuong Nguyen (Support Team) Hailey Sullivan (Support Team) Deborah McDonald (Support Team) Upuia Mataia (Support Team)	EMcArthur@Globalrms.com tnguyen@globalrms.com Hsullivan@globalrms.com dmcDonald@globalrms.com umataia1@globalrms.com

Appendix B - Risk Component Definitions:

- **Experian Financial Risk Stability** - Supplier should be financially stable and able to prove for 60 months or 5 years. (Differs per supplier region)
- **Bankruptcy Monitoring** - No bankruptcy declared by the supplier in the last 60 months or 5 years.
- **Liens Monitoring** - No outstanding unpaid liens to be discovered in the supplier record.
- **Global Watch and Adverse Media Monitoring** - No Derogatory News Media Files and Watchlist Found impacting supplier reputation.
- **Judgements Monitoring** - No judgement records found for supplier within the past 60 months.
- **Sustainability Policy** - Supplier should have a Sustainability policy outlining targets and objectives for current and long-term sustainability goals.
- **Sustainable Procurement Policy & Survey or Sustainability / ESG Rating** - Assessment result or undertake Solenis sustainable procurement policy & survey (majority of which is aligned to Well-known ESG / Sustainability assessment)
- **Diversity Status Verification** - A business that is at least 51% owned and operated by an individual or group that is part of a traditionally underrepresented community.
- **Tax Form (W-9 / W-8BEN)** - Provide the most current fiscal year tax form based on the Supplier Region
- **SBTi (Science Based Targets Initiatives)** – SBTi is a corporate climate action organization that enables companies and financial institutions worldwide to play their part in combating the climate crisis.
- **ISO 20400** - A way to integrate Sustainability within the procurement process, at the strategic level, policies & practices, and processes of your organization.
- **ISO 26000** - Assist companies in addressing their social responsibilities while respecting cultural, societal, environmental, and legal differences and economic development conditions.
- **ISO 9001** - is the international Standard for Quality Management
- **RC 14001** - is a technical specification that combines the Responsible Care Management System (RCMS) with ISO 14001 to help organizations manage chemicals responsibly.
- **ISO 14001** - is a voluntary international standard that specifies the requirements for an environmental management system (EMS)
- **OHSAS 18001** - is a British standard for occupational health and safety management systems.
- **ISO 45001** - is an international standard for occupational health and safety management systems (OHSMS) that was published in March 2018

Appendix C – GRMS Supplier Risk Assessment Status and Explanation:

- **Compliant (Low Risk)** – This means the supplier has gone through the assessment and provided the basic documentation (example: ISO Certifications, Financial Risk rating, Tax Form) to prove that this supplier is qualified to extend business opportunities.
- **Alert – Needs Client Review (Medium Risk)** - This means that the supplier has submitted the required documents, however, Solenis needs to review the alert and decide to ask for more evidence or proceed with the supplier (assuming the risk is on the lower end and would not damage business transactions).
- **Alert – Under Client Review (Medium Risk)** – This means that supplier documentation has been submitted and Solenis is reviewing the documentation to arrive at a decision for the supplier being compliant or further documentation required to do so.
- **Pass-Exception Granted (Low Risk)** – Procurement Excellence team had to go through a detailed analysis, this can include asking suppliers to provide evidence. If the analysis demonstrates supplier compliance to Solenis requirements, the rating is manually changed by Procurement Excellence Team to Pass Exception Granted.
- **Non-Compliant (High Risk)** – The supplier has failed to provide sufficient information and documentation hence the supplier is deemed non-compliant until they are able to provide the data required to transition from Non-Compliant to a Compliant supplier for Solenis.
- **Fail-No Response (Fail-No Document) (Medium or High Risk)** – If Supplier has not responded or provided documents for a Risk component, the rating automatically changes to 'Fail-No Response' until the supplier fulfills the condition and provides the relevant documentation.

Appendix D – RACI Matrix - Roles and Responsibilities:

Task Number	RACI Matrix - Task Description (Risk Assessment Program)	Procurement Excellence	Procurement Professional	Regional Procurement Director	Procurement Excellence Director
0	Identify Suppliers in scope of Supplier Risk Program	R	C	-	A
1	Invitation package sent to Suppliers informing them of requirement plus GRMS incoming email	R	C	-	-
2	Follow up email to Unresponsive suppliers and tracking supplier outreach	R	I	-	-
3	Monitor Dashboard for Enrollment changes + supplier performance	R	-	-	I
4	Update Risk Assessment Program tracker per supplier changes	R	I	-	I
5	Supplier Meeting for Risk Assessment program registration	R	-	-	-
6	Resolving Supplier Questions / Action items (if any)	R	I	-	-
7	Monthly Numbers / Metrics and Reporting	R	I	I	A
8	Monthly meeting - Strategy and Enrollment (Risk Assessment Program)	R	C	C	A
9	Risk Mitigation & Non-Compliance monitoring and Follow-ups as required	R	C	-	C
10	Review Supplier Risk performance improvement. If no Improvement, Supplier can be put on New Business Hold.	R	C	I	I
11	Waiver / Discount code provided and tracked per supplier	R	C	-	A
12	Manage Shared Mailbox - Supplerrisk@solenis.com Read & Respond (If required)	R	C	I	-