

# Supplier Self-Assessment

The  
laboratory  
at your side

 Labor Dr. Wisplinghoff

## 1. General

1.1	Name of company/ legal form:	
1.2	Street/No.:	
1.3	ZIP code/Town/City:	
1.4	Country:	
1.5	Telephone:	
1.6	Fax:	
1.7	Email:	
1.8	Homepage:	
1.9	Year of foundation:	
1.10	Number of employees:	
1.11	Employees working in Administration:	
1.12	Employees working in Production/Service:	
1.13	Employees working in Quality Management:	
1.14	Gross annual revenue:	
1.15	Revenue development in the past 3 years:	
1.16	Last year's investment volume:	
1.17	Export rate:	
1.18	Expected share of revenues with Labor Dr. Wisplinghoff in total revenues:	
1.19	Do you have a business registration or permission to practice freelance profession?	Yes      No

## 2. Company structure and shareholders

2.1	Corporate affiliation: (Name and address of parent company, if different)	
2.2	Information on owners/main shareholders/partners:	
2.3	Locations/subsidiaries (countries):	
2.4	Reference customers/projects:	
2.5	Please provide a corporate organizational chart.	

## 3. Contact information

<b>3.1</b>	<b>Managing Director(s)</b>			
	Name:			
	Telephone:		Fax:	
	Email:			
<b>3.2</b>	<b>Head of Sales</b>			
	Name:			
	Telephone:		Fax:	
	Email:			
<b>3.3</b>	<b>Research &amp; Development</b>			
	Name:			
	Telephone:		Fax:	
	Email:			
<b>3.4</b>	<b>Logistics</b>			
	Name:			
	Telephone:		Fax:	
	Email:			

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<b>3.5</b>	<b>Service</b>			
	Name:			
	Telephone:		Fax:	
	Email:			
<b>3.6</b>	<b>Procurement</b>			
	Name:			
	Telephone:		Fax:	
	Email:			
<b>3.7</b>	<b>Quality Management</b>			
	Name:			
	Telephone:		Fax:	
	Email:			

#### 4. Financial information

4.1	Bank name:	
4.2	IBAN:	
4.3	BIC:	

#### 5. Tax information

5.1	Tax number:	
5.2	VAT number (only in EU):	

## 6. General organization

6.1	Do you have a Service Department and/or service hotline?	Yes, as follows:	No
6.2	Is worldwide delivery possible?	Yes With the following restrictions:	No
6.3	Do you have options for electronic data exchange?	Yes, as follows:	No

## 7. What products and/or services does your company offer?

▪	▪
▪	▪
▪	▪

## 8. Production

Is your company assigned to the manufacturing sector? If no, please answer questions within 9.			
8.1	Do you have experience with development partnerships?	Yes	No
8.2	Where are your products engineered?	Internally	Externally
8.3	Is production carried out in-house?	Yes	No
8.4	Do your products contain hazardous substances?	Yes	No

## 9. Services

9.1	Is your company in possession of a valid temporary employment licence (Arbeitnehmerüberlassung)?	Yes	No
9.2	Do subcontractors carry out your provided services – in whole or partially?	Yes	No

## 10. Quality Management and Certifications

10.1	Management Systems			
10.1.1	Do you have your own Management System? If not, please answer the questions from 10.1.4 onwards.	Yes	No	
10.1.2	Has the Management System been certified by an accredited institution (e.g. DAkkS)?	Yes	No	
10.1.3	Certified standard	Valid certificate?		Valid until:
	ISO 9001	Yes	No	
	ISO 13485	Yes	No	
	ISO 14001	Yes	No	
	ISO 15189	Yes	No	
	ISO 17020	Yes	No	
	ISO 17025	Yes	No	
	ISO 17043	Yes	No	
	ISO 27001	Yes	No	
	ISO 37001	Yes	No	
	ISO 45001	Yes	No	
	ISO 50001	Yes	No	
	DIN EN 15038	Yes	No	
	EN 1090	Yes	No	
	Others:	Yes	No	
10.1.4	Do you plan a certification?	Yes	No	
	ISO 9001	Yes	No	When:
	ISO 14001	Yes	No	When:
	ISO 27001	Yes	No	When:
	ISO 37001	Yes	No	When:
	ISO 45001	Yes	No	When:
	ISO 50001	Yes	No	When:
	Others:	Yes	No	When:

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<b>10.2</b>	<b>Quality Management</b>		
10.2.1	Is there a standard-based, specified Quality Management System in place?	Yes	No
10.2.2	Has a Quality Management Officer been appointed?	Yes	No
10.2.3	Is there a Quality Policy Guideline?	Yes	No
10.2.4	Is there a QM Manual that is regularly updated?	Yes	No
10.2.5	Is your QM System regularly evaluated, e.g. through internal audits?	Yes	No
10.2.6	Are contracts reviewed to ensure that all defined requirements can be met?	Yes	No
10.2.7	Is there an established process to ensure that contract-specific changes/modifications are communicated to the appropriate people/departments/offices?	Yes	No
10.2.8	Are there processes in place for dealing with non-conforming products/services?	Yes	No
10.2.9	Are identified failures analyzed and corrective measures subsequently derived and documented?	Yes	No
10.2.10	Are the relevant standards/laws available and accessible?	Yes	No
10.2.11	Do you regularly evaluate your suppliers?	Yes	No
10.2.12	Do Quality Assurance Agreements (QAA) exist with your main customers?	Yes	No

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<b>10.3</b>	<b>Risk Management</b>	
10.3.1	Has a company-wide Risk Management System been established in your company?	Yes No
10.3.2	If yes, please explain its building blocks:	
10.3.3	Does your Enterprise Risk Management Program allow you to constantly monitor, prevent and reduce risks?	Yes No
10.3.4	Is a Supply Chain Risk Management Program in place?	Yes No
10.3.5	If yes, please explain its building blocks:	
10.3.6	What kinds of supplier, price and supply risks do you monitor?	
10.3.7	Please briefly explain your approach and the digital solution(s) used:	

<b>10.4</b>	<b>Inspections/Tests</b> (only to be completed by manufacturing companies)	
10.4.1	Are inspections/tests carried out and documented during development, design, production and before delivery?	Yes No
10.4.2	Is the traceability of delivered third-party/supplier products guaranteed (if necessary)?	Yes No
10.4.3	Are the manufacturing and testing processes based on standardized procedures?	Yes No
10.4.4	Are inspections/tests carried out during production and before the product is delivered to the customer?	Yes No
10.4.5	Are the inspection/test results documented?	Yes No
10.4.6	Is the maintenance of all production facilities/equipment carried out according to a fixed schedule?	Yes No
10.4.7	Is test equipment/devices checked regularly?	Yes No



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<b>10.5</b>	<b>Safety</b>	
10.5.1	Do you carry out workplace-related risk assessments for your employees?	Yes No
10.5.2	How often are these updated?	
10.5.3	Are your employees instructed on workplace hazards?	Yes No
10.5.4	At what frequency does the instruction take place?	
10.5.5	Have your managers signed a written transfer of duties regarding responsibility for occupational health and safety?	Yes No
10.5.6	Please state the accident rate LTIF (Lost Time Injury Frequency) for the last three years:	
10.5.7	Has your company had a fatal accident at work or on the way to work in the last three years?	Yes No
10.5.8	Are your employees instructed and trained in the handling of hazardous substances?	Yes No

<b>10.6</b>	<b>Health</b>	
10.6.1	Have you implemented a company Health Management Program?	Yes No
10.6.2	Please name individual Health Management measures:	
10.6.3	Do your employees have access to a company doctor?	Yes No
10.6.4	Is it ensured that mandatory health checks are attended by employees?	Yes No

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<b>10.7</b>	<b>Environment</b>		
10.7.1	Has there been an environmental incident in the last three years for which the public authorities were consulted?	Yes	No
10.7.2	Do you keep waste statistics categorized by type of waste?	Yes	No
10.7.3	Do you keep a register of hazardous substances (Gefahrstoffkataster)?	Yes	No
10.7.4	Do you store your hazardous substances in accordance with the storage conditions specified in the safety data sheet (Sicherheitsdatenblatt SDS)?	Yes	No
10.7.5	Please quantify your water consumption from the last three years?		
10.7.6	Do you comply with applicable laws and regulations regarding air emissions, noise pollution, soil and water discharges?	Yes	No
10.7.7	Is it guaranteed that any waste generated by the supplier can be properly disposed of?	Yes	No
10.7.8	When delivering hazardous substances, is it ensured that they are transported properly (cargo safety) and declared in accordance with regulations?	Yes	No

<b>10.8</b>	<b>Energy</b>		
10.8.1	Do you monitor your energy consumption?	Yes	No
10.8.2	How high has your energy consumption been in the last three years?		
10.8.3	Do you use electricity from sustainable energy resources?	Yes	No
10.8.4	If yes, what is the proportion?		
10.8.5	Do you have an energy reduction program or targets?	Yes	No
10.8.6	Is the energy efficiency of your products reported (if possible)?	Yes	No

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10.9	Sustainability		
10.9.1	Do you have a sustainability strategy in place?	Yes	No
10.9.2	Do you conduct life-cycle-assessments for your products?	Yes	No
10.9.3	Do you calculate the CO2 footprint for your operating sites?	Yes	No
10.9.4	Do you calculate the CO2 footprint for your products?	Yes	No
10.9.5	Do you submit the abovementioned CO2 footprints for the products/services you supply to us?	Yes	No
10.9.6	If you have already participated in sustainability ratings (e.g. EcoVadis), please provide us with your score:		
10.9.7	Is attention paid to environmentally friendly packaging, take-back options, etc. during transport?	Yes	No
10.9.8	Is there an established process that ensures that specific substitution options (e.g. higher energy efficiency, lower hazardousness) of supplied products or substances are forwarded to the responsible departments of Labor Dr. Wisplinghoff?	Yes	No
10.9.9	Percentage of recycled input materials used to manufacture the own primary products and services:		
10.9.10	Materials (in kg or distribution) for packaging, storage containers and load carriers made of:		
	▪ Wood (Holz):		
	▪ Corrugated paper and cardboard (Wellpapier/-pappe):		
	▪ Paper, carton and cardboard (Papier, Karton, Pappe):		

10.10	German Supply Chain Act (LkSG) & Whistleblower Protection (HinSchG)	
10.10.1	Does your company fall within the scope of the law on due diligence in the supply chain (LkSG) and are you obliged to fulfil the requirements (Sorgfaltspflichten)?	Yes No
10.10.2	Have you started to implement the due diligence obligations (Sorgfaltspflichten) in your area of responsibility and with your suppliers?	Yes No
10.10.3	If not, please give reasons:	
10.10.4	Has your company already developed and implemented a Human Rights Strategy (Menschenrechtsstrategie)?	Yes No
10.10.5	Do you have an own code of conduct, or have you signed/agreed one with your business partners?	Yes No
10.10.6	Has a publicly accessible Complaints Management System/whistleblower hotline been set up and is it active (e.g. on the homepage)?	Yes No
10.10.7	Has the Whistleblower Protection Act (HinSchG) been considered when designing the procedure?	Yes No
10.10.8	Do you adhere the United Nations Universal Declaration of Human Rights and the International Labour Organization (ILO) Declaration on Fundamental Principles and Rights at Work?	Yes No

## 11. Social Responsibility and Compliance

11.1	Do you have your own code of conduct in place?	Yes No
11.2	Do you have a Compliance Management System in accordance with IDW PS 980 or ISO 19600 in place?	Yes No
11.3	Do you comply with local minimum wage laws and other local labour legislation?	Yes No
11.4	Do you monitor and control your suppliers' compliance with legal minimum wage laws and other mandatory labour regulations?	Yes No

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11.5	Do you have a policy against child labour and forced labour in place?	Yes	No
11.6	Do you have an anti-corruption, anti-bribery and anti-money laundering policy in place?	Yes	No
11.7	Do you conduct audits or reviews of your supply chain in relation to social standards?	Yes	No
11.8	Do you have business, transactions, suppliers or business partners in countries or with companies/ individuals that are subject to a trade restriction list (i.e. US, UN or EU restriction list)?	Yes	No
11.9	Do you produce or trade in dual-use goods or goods that are listed in the EC Dual-Use Regulation or the US Commerce Control List (CCL) and/or Export Commodity Classification Number (ECCN)?	Yes	No
11.10	Do your products contain conflict minerals? <ul style="list-style-type: none"> <li>▪ Cassiterite (Tin)</li> <li>▪ Coltan (Tantalum)</li> <li>▪ Wolframite (Tungsten)</li> <li>▪ Gold ore (Aurum)</li> </ul>	If yes, please send us the completed questionnaire: <a href="https://www.responsiblemineralsinitiative.org/reporting-templates/emrt/">https://www.responsiblemineralsinitiative.org/reporting-templates/emrt/</a>	
11.11	What kind of system do you have in place to ensure data protection and information security?		
11.12	What technical and organisational measures has your company taken to comply with the provisions of the GDPR (DSGVO)?		
11.13	Are you compliant with the General Data Protection Regulation and has a Data Protection Officer been appointed in your company?	Yes	No
11.14	Are you (or a company in your group) the subject of an ongoing investigation by the authorities in one or more jurisdictions?	Yes	No

## 12. Product and producer liability

(to be completed by manufacturing companies only)

12.1	Object insured:	
12.2	Insured sum:	
12.3	Deductible or excess:	

### 13. European Chemicals Directive 1907/2006 – REACH

13.1	Is your company within the meaning of REACH ...?	Producer End User	Retailer not affected	Importer
13.2	Have all substances/preparations supplied to Labor Dr. Wisplinghoff that require registration been preregistered by you or an upstream actor in your supply chain?	Yes	No	If no: Please enclose a list of substances/preparations incl. scope of application.
13.3	Do your products contain substances on the candidate list (ECHA)?	Yes	No	If yes: Please enclose a detailed list.
13.4	We confirm that we will carry out an unsolicited review whenever the candidate list is extended and report any changes to Labor Dr. Wisplinghoff.	Yes	No	

We accept audits by Labor Dr. Wisplinghoff or by authorized auditors: Yes      No

Remarks:

Questionnaire completed by: \_\_\_\_\_  
Name in capital letters Function

Date (DD/MM/YYYY) \_\_\_\_\_ Signature/stamp \_\_\_\_\_

Please send the completed form and attachments to: [einkauf@wisplinghoff.de](mailto:einkauf@wisplinghoff.de)

<b>To be filled in by Labor Dr. Wisplinghoff</b>				
Classification	qualified (preferred)	qualified	qualified (with restrictions)	not qualified
Quality-relevant supplier or service provider?	Yes      No	<b>QAA or other agreements/ contracts needed?</b>	Yes, as follows: No	
Agreed to Supplier Code of Conduct?	Yes      No	<b>Remarks:</b>		
Final approval	approved		not approved Reason:	
Date	<b>Signature Purchasing</b>		<b>Signature Quality Management</b>	