

# Supplier Expectations Manual

## *Raw materials & Packaging*

Owner: Chief Procurement Officer

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# 1. Purpose

At dsm-firmenich, we are innovators in nutrition, health, and beauty and we combine the essential, the desirable, and the sustainable.

Aligned with our purpose and values, dsm-firmenich is striving to operate to the highest standards to deliver products that are effective, safe and compliant with all relevant regulations. Safety, quality and compliance are at the core of all our operations and reflect the principles outlined in our *Code of Business Ethics*.

As such, dsm-firmenich partners exclusively with trusted suppliers and sub-contractors who share our commitment to excellence.

This *Supplier Expectations Manual for Raw Materials & Packaging* (hereafter 'SEM') complements the *Supplier Code* and is aimed at fostering strong, collaborative partnerships focused on the shared goal of delivering high-quality products. This document outlines the minimum expectations for our suppliers with respect to quality, safety, compliance, and business continuity.

We count on all our suppliers and sub-contractors to fully engage with us to achieve the commitments outlined in this manual.

*DISCLAIMER This document is not intended to mandate how the suppliers operate their facilities. Suppliers are responsible for ensuring their operations meet dsm-firmenich requirements as well as all other applicable requirements, including legal and regulatory obligations.*

# 2. Scope

The SEM is applicable to our global business operations and all external parties (referred to as "suppliers" in this document) with whom we have or plan to establish business relationships. It covers suppliers of raw materials, packaging materials and sub-contractors (including tollers, third-party manufacturers) or any entity producing on behalf of dsm-firmenich.

We request our suppliers to carefully read the different sections of this document and abide with related requirements.

While this SEM applies to our suppliers, we expect them to implement similar requirements within their own supply chains.

This document is not intended to modify or supersede other requirements included in contracts or product specifications issued by dsm-firmenich and it may be supplemented by additional requirements specific to business units or product applications.

# 3. Description

The following sections provide clarity on dsm-firmenich priorities and guidance for implementation by our suppliers, for each of the following areas:

- General requirements
- Trade compliance
- Quality



- Dangerous goods
- Hazard substances
- Safety, Health & Environment
- Transport safety
- Natural producers
- Business continuity management

### 3.1 International Recognized Management Systems

dsm-firmenich recognizes and encourages the suppliers to adopt globally recognized certified management systems, or at minimum adopt internal management systems, using the list below as a reference. This list is not exhaustive and alternative management systems or certification may be accepted.

System	Reference
Quality	ISO 9001
Product Safety	Food application <ul style="list-style-type: none"><li>- GSFI approved schemas <sup>(*)</sup>/ ISO 22000</li></ul> Feed application <ul style="list-style-type: none"><li>- FAMI-QS as preferred, or other recognized feed standards (FCA (OVOCOM), GMP+ International, UFAS/ FEMAS, QS Qualität und Sicherheit GmbH)</li></ul> <p><sup>(*)</sup>FSSC 22000 (preferred), BRC, SQF and IFS</p>
Medical Devices	ISO 13485
Good Manufacturing Practices	Pharma application: <ul style="list-style-type: none"><li>- GMP Certified according to ICH Q7a for Active Pharmaceutical Ingredients</li><li>- Certification (EXCiPACT) or third-party confirmation for excipients</li></ul> Cosmetic application: <ul style="list-style-type: none"><li>- EFfCI/ ISO 22716 (cosmetics and cosmetic ingredients)</li></ul>
Natural Products	<ul style="list-style-type: none"><li>- Global Gap F&amp;V (GFSI) and its benchmarked schemes e.g. QS, PrimusGFS Audit Certification Program</li><li>- USDA harmonized plus</li></ul>
Business continuity management	ISO 22301/ ISO 27001



## 3.2 General Requirements

**Our suppliers must meet the following requirements:**

- Remain up to date with applicable laws and regulations (new or updates).
- Promptly communicate any serious non-conformances identified during external audits and regulatory agencies inspections that could affect materials supplied to dsm-firmenich.
- Adopt a cooperative approach to risk management, including joint risk assessments and shared mitigation strategies.

## 3.3 Trade Compliance

**Our suppliers must meet the following requirements:**

- Have procedures and IT systems in place for managing and checking product status against trade regulations.
- Provide evidence of participation in Customs Trade Partnership Against Terrorism (C-TPAT) and evidence of Authorized Economic Operator (AEO) certification, when certified, including the authorization number.
- In case the supplier is not a member of these programs, the CTPAT Security Questionnaire must be completed upon request.

## 3.4 Quality

### 3.4.1 Quality Management System

Suppliers shall establish a quality management system that ensures consistency, quality and continuous improvement of products supplied to dsm-firmenich.

**Our suppliers must meet the following requirements:**

- Implement a robust quality system to monitor and improve product quality, in compliance with all quality requirements stated in specifications, contracts, quality agreements and Good Manufacturing Practices, as applicable.
- Assess and manage risks associated with quality and product protection.
- Measure, monitor and continuously improve the customer satisfaction level.
- Ensure full investigation in case of customer complaints and communicate the results timely.



- Implement routines that guarantee compliance with the applicable Good Manufacturing Practices.
- Control documents and records to ensure all evidence (including sensitive information) are properly stored and promptly available to dsm-firmenich when necessary.
- Develop and provide a quality and product protection (when applicable) training program based on the competency requirements for individual functions.

**They should as well:**

- Proactively certify the quality and product protection (when applicable) management systems (e.g. ISO 9001, EFfCI and similar).

### 3.4.2 Product Protection

Suppliers shall define a risk-based control system to keep the products supplied to dsm-firmenich safe for use, preventing unintentional and intentional adulteration.

**Our suppliers must meet the following requirements:**

- Conduct a review of the control system at least annually and whenever there are major changes.
- Define a HACCP (or similar Risk Analysis) to avoid unintentional adulteration of the products.
- Identify and control products according to the physical, chemical (including allergens, phthalates/ heavy metals/ bisphenol A, pesticides, and solvents), radiological and microbiological hazards identified in the HACCP study.
- When appropriate, establish environmental controls (microbiological and allergens), particularly in the most sensitive areas.
- When appropriate, establish physical contamination prevention measures such as magnets, metal detectors, x-rays detectors, filters, screens and sieves.
- When applicable, control the level of perfumes allergens in raw materials and finished products.
- Implement programs to avoid intentional adulteration (reference PAS 96).
- Ensure all raw material containers sent to dsm-firmenich are appropriately sealed, and have SITESS (Supplier Identifiable, Tamper Evident Safety Seals) matching with the documentation provided.

**They should as well:**

- Proactively certify the product protection management systems (e.g. ISO 22716, FSSC22000 and other GFSI approved schemes, FAMIQS, etc.), as applicable.



### 3.4.3 Traceability

**Our suppliers must meet the following requirements:**

- Develop and maintain a documented system capable of effectively managing traceability information related to raw materials, packaging materials, intermediate, processing aids, recycling/ reworking parts and final products within four hours.
- Provide source of origin statements when required.
- Retain all documented information (original or electronic copies) as evidence of the traceability system for at least the shelf-life of the products supplied (or as required by local regulation).
- Implement internal routines to ensure the proper identification of the products supplied, compliant with Good Labelling Practices.
- Ensure that applicable statutory, regulatory and customer requirements are identified and adhered to.
- Conduct mock recall exercises at least every three years (ideally annually) and demonstrate that they can be completed within four hours of initiation, to evaluate the effectiveness of the traceability system and the reconciliation of quantities as evidence.

### 3.4.4 Supplier Management System

Suppliers shall manage upstream supply chains to identify, control and reduce the risks in materials and services acquired.

**Our suppliers must meet the following requirements:**

- Develop a process to identify upstream suppliers impacting product quality and safety based on selected criteria.
- Define a qualification process for new suppliers and a routine for keeping existing suppliers qualified.
- Define a holistic and effective supplier performance management system.

**They should as well:**

- Define a supplier audit program based on risk associated with performance and business impact.



### 3.4.5 Management of change and communication

Suppliers shall have a program in place to manage changes and ensure these are communicated in a timely manner, prior to their implementation and in line with contractual clauses (if applicable).

**Our suppliers must meet the following requirements:**

- Notify in advance any changes in materials, ingredients, processing, equipment, or manufacturing location that may impact the regulatory, quality, or safety of finished products for review and assessment before implementation.

### 3.4.6 Quality Inspection

Suppliers shall define a quality control plan to systematically evaluate the conformance of incoming materials, materials in process and finished products.

**Our suppliers must meet the following requirements:**

- Implement product release routines based on agreed specifications.
- Clearly define acceptance range of processes and intermediate materials.
- Implement effective sampling and inspection plans for raw and packaging materials, intermediate materials, and finished products.
- Define analytical methods and calibration program for the laboratories and other inspection routines.
- Perform analytical, microbiological (if applicable) and/ or sensory analysis for each finished product batch supplied, according to agreed specifications.
- Properly document shipping materials with certificates of analysis and any other specific applicable certificates.

### 3.4.7 Deviations and non-conformances

Suppliers shall define internal procedures to handle deviations and non-conformances in process or finished good supplied to dsm-firmenich.

**Our suppliers must meet the following requirements:**

- Monitor any quality deviations and non-conformances, in process and in finished good.
- Implement controls to reestablish the normal conditions when a deviation or a non-conformance is detected.
- Identify and properly handle potential nonconforming products generated.
- Establish procedures for handling re-processing, re-work and disposal of non-conforming products.



- Establish methodologies to perform root cause analysis to prevent recurrence (CAPA).
- Define routines to systematically identify trends and patterns in deviations or in non-conformances.
- If non-conforming products are delivered and rejected by dsm-firmenich plants, the supplier shall be responsible for collecting and transporting these products back to their factory.

### 3.4.8 Crisis Management and notification of significant events/ incidents

Suppliers shall have documented crisis management procedures covering events such as food safety incidents, regulatory involvement, media events, product recall, product withdrawal, business continuity planning and any other potential emergency.

#### **Our suppliers must meet the following requirements:**

- Keep dsm-firmenich informed in case of:
  - Recall or withdrawal of any products manufactured at the supplier site.
  - Any significant product quality defects or process deviations which are likely to lead to a recall, withdrawal, or issue regarding product availability of any supplied products.
  - Failure to achieve third-party re-certification or loss of third-party certification.
  - Identification or discovery of potentially defective or adulterated ingredients.

### 3.4.9 Raw and Packaging Materials Management

Suppliers shall establish procedures to ensure quality and compliance with current applicable regulations for their raw materials, ingredients, processing aids and packaging materials.

NB: in this section, packaging materials refer to the packaging used by suppliers in their operations, including for the finished goods supplied to dsm-firmenich.

#### **Our suppliers must meet the following requirements:**

- Define proper specification of the raw and packaging materials.
- Select packaging materials based on scientific criteria, ensuring suitability for the intended use, product compatibility, migration tests, safety, and regulatory compliance.
- Diligently handle exceptional purchases from non-approved suppliers, mitigating safety and quality risks.
- Define the receiving routines to perform all the necessary checks before acceptance.



- Properly assess the materials before use to identify hazards related to product quality and/ or safety.
- Store the material under appropriate environmental conditions, according to the requirement for each material.
- Keep the material properly sealed and stored to ensure product protection.

### 3.5 Dangerous Goods

Suppliers shall provide evidence of existing measures for Dangerous Goods (DG) international transportation laws/ regulations, when applicable.

**Our suppliers must meet the following requirements:**

- Use DG compliant packaging to supply and export DG raw materials.
- Upon request, promptly provide UN package certification for DG shipment.

### 3.6 Hazardous Substances

**Our suppliers must meet the following requirements:**

- Maintain an updated list of all the hazardous chemical substances.
- Provide effective employee communication at site level for hazardous chemical substances.
- Provide access to Safety Data Sheets (SDS) for each chemical used in the most appropriate language(s) that all workers can understand.
- Ensure that all hazardous materials are properly stored, handled, and labeled.
- Provide comprehensive annual health checks to all employees who handle hazardous materials.

### 3.7 Safety, Health & Environment

Suppliers shall develop and maintain a Safety, Health & Environment (SHE) management system that ensures legal compliance and promotes a safe and healthy work environment while safeguarding the planet.

**Our suppliers must meet the following requirements:**

- Engage employees in SHE topics through awareness sessions, training, and projects.



- Capture, investigate and take corrective and preventive actions in case of SHE incidents.
- Measure, monitor, report and continuously improve SHE performance.
- Identify, assess and effectively mitigate SHE-related risks, including issuance of proper documentation (standard operating procedures).
- Implement a system to identify, select, provide, and monitor the usage of appropriate Personal Protective Equipment (PPE) according to job assessed risks.
- Implement effective emergency response systems, including but not restricted to fire and explosions, law enforcement, natural disasters, pandemics, etc.

### 3.8 Transport Safety

Suppliers shall ensure safety during transport, reception, and offloading activities.

#### **Our suppliers must meet the following requirements:**

- Supplied packaged goods are:
  - Palletized and stable according to European Standard EN12195-1 or equivalent standard.
  - Properly secured in the used means of transport, in accordance with IMO/ ILO/ UNECE Code of Practice for Packing of Cargo Transport Units (CTU Code).
- If the supplier organizes the transport to or from a dsm-firmenich location, any driver entering a dsm-firmenich site to deliver or pick up packaged or bulk goods:
  - Must be able to communicate effectively to understand and apply the relevant aspects of SHE with site personnel at the workplace.
  - Is qualified to drive and transport the goods concerned.
  - Must comply with:
    - Site traffic and PPE rules.
    - Relevant Life Saving Rules for drivers (drive safely, no drugs or alcohol, no smoking, observe working at heights requirements).
    - Site instructions to open and secure the truck for (un)loading.

### 3.9 Natural Producers

This section lists additional requirements specific to the supply of biomass (flowers, spices, leaves, fruits) or processed natural products (juices, oils, purees) sourced directly from producers or via traders.



**Our suppliers must meet the following requirements:**

- Demonstrate compliance with Good Agriculture Practices (GAP).
- Apply the same requirements across the value chain to the different growers involved.
- Maintain records of their sourcing, harvesting, and processing practices.
- Natural raw materials must be free from pests and diseases, and chemical residues must comply with current legislation or contractual agreements.
- Natural raw materials should comply with the agreed standards for the product application (size, color, etc.) and be free from any foreign materials.
- Natural raw materials must be harvested at the right time to ensure their longevity and must be stored and transported in conditions that preserve their freshness and prevent damage.
- Natural raw materials must be clearly labeled, including type, grade, source, and any relevant certifications. For fruits and flowers, labelling might also include information on the date of harvest.
- Provide appropriate periodic training within their organization and across upstream supply chain.
- Upon request, provide certifications and documentation to evidence compliance with declared claims.

**They should as well:**

- Conduct regular inspections and tests to verify that natural products meet specified quality standards. This might include checking for pesticide residues and/or heavy metals.

### 3.10 Business Continuity Management

As part of their business continuity plan, and in addition to *Supplier Code* requirements, sub-contractors (including tollers, third-party manufacturers, third-party logistics, etc.) shall conduct periodic risk assessments and establish mitigation plans.

**Our suppliers must meet the following requirements:**

- Perform a risk analysis of suppliers, materials, processes and distribution channels to identify the potential critical scenarios.
- Develop countermeasures for the high risks identified.
- In case of disruption, provide dsm-firmenich with details of alternative production plants, including capacity and recovery times.



## 4. References

[Supplier Code](#)

[Quality Policy Statement](#)

## 5. Definitions

In this manual, the following terms are defined as follows:

ITEM	DEFINITION
CAPA	Corrective and Preventive Action Program established after a root cause analysis following a quality deviation.
Good Agriculture Practices (GAP)	Refers to essential standards that could be verified through a third-party audit to ensure the safe and sustainable production of crops and livestock.
Good Labelling Practices	Refers to guidelines and standards that ensure labels on products, especially in industries like food, pharmaceuticals and chemicals, provide clear, accurate, and legally compliant information to consumers and stakeholders. Proper labelling is essential for safety, regulatory compliance, and informed decision-making.
Good Manufacturing Practices (GMP)	System that ensures that manufactured products—such as food, cosmetics, and pharmaceutical goods—are consistently produced and controlled according to set quality standards.
HACCP	Hazard Analysis and Critical Control Points is a systematic preventive approach to food safety that identifies, evaluates, and controls hazards from biological, chemical, and physical sources in food and food ingredients production processes.
PAS 96	Publicly Available Specification developed by the British Standards Institution (BSI). It provides guidance to the food and beverage industry on defending their operations and supply chains against deliberate acts of contamination or adulteration.
Risk Assessment	Systematic process used to identify potential hazards and risks in a given situation, including the analysis of the impact should these hazards take place (e.g. business continuity risk assessment, safety risk assessment, food safety risk assessment, etc).
Third-party manufacturer (3PM)	Third-party entity that engages in contract manufacturing or tolling to manufacture the requested product on behalf of dsm-firmenich.
Sub-contractor or Contract manufacturer	Third-party entity contracted to manufacture products for the benefit of dsm-firmenich, according to dsm-firmenich's specifications and production processes, and to sell those products



	exclusively to dsm-firmenich. The third-party is responsible for purchasing raw materials used.
Toller	Third-party entity contracted to manufacture products for the benefit of dsm-firmenich, according to dsm-firmenich's specifications and production processes; in exchange for a tolling fee, dsm-firmenich (at least partly) supplies the materials to be used by the toller; these materials and the manufactured products remain the property of dsm-firmenich.

## 6.Document management

Version	Date	Purpose of change
1	October 1, 2025	New Manual Release