

Supplier Guideline

Version 2.1 September 30th, 2021



Change history

No.	Change notice	Date
0	First edition Version V1	30.09.2019
1	Update Version V2: 1. Chapter 5.6 Traceability Explanation of terms 2. Chapter 5.8 Advanced shipping notification of a delivery 3. Chapter 5.8 Supply Chain Monitoring 4. Chapter 6.1 Quality assurance agreement Chapter 6.2 Advance quality planning / first article inspection	30.09.2020
2	 Update Version V2.1: Chapter 5.3 Addition to the definition of terms: Definition single part; SET/KIT; module Chapter 5.11 Addition of the reference to the currently valid packaging specification. Chapter 5.12. Addition of the reference to product marking in connection with serialization Chapter 6.5 Subcontractors Chapter 6.8 Responsible Sourcing of Minerals 	30.09.2021



Table of contents

D	Definition of terms5				
1	Ob	jective and scope of the Supplier Manual	6		
2	Su	stainability and responsibility	6		
3	Co	llaboration foundations	7		
Ĭ	3.1	ZEISS contact			
	3.2	Supplier contact			
4	Pu	rchasing / Supply chain management	8		
	4.1	General Purchasing Terms and Conditions			
	4.2	Contracts / Agreements			
	4.3	Electronic data exchange			
	4.4	Supplier management / evaluation			
	4.5	The SUCCESS supplier management program			
	4.6	Supplier onboarding			
5	Lo	gistics process elements	11		
	5.1	Procurement types for goods deliveries			
	5.2	Works and services			
	5.3	Standard delivery types			
	5.4	Forecast	12		
	5.5	Order processing	12		
	5.6	Traceability			
		.1 Serial management			
		.2 Batch management			
	5.7	Replacement part availability, maintenance and repair			
	5.8	Communication and information flow			
	5.8	.1 Order confirmation	13		
	5.8 5.8	(11)			
	5.9	Customs and export control			
		Hazardous substances			
	5.10				
	5.11	Packaging			
	5.12 5.1	Labeling2.1 Labeling of packaged products			
	5.1	2.2 Labeling and specifications for deliveries to ZEISS			



	5.13	Transport	15
	5.13		
	5.13	.2 Transport conditions	15
	5.13		
	5.13	· · · · · · · · · · · · · · · · · · ·	
	5.13	.5 Labeling rush goods	16
6	Sup	pplier quality	16
	6.1	Contracts / Agreements	16
	6.2	Process control	16
	6.3	Complaint / concession process (special releases)	17
	6.4	Change requests	17
	6.5	Subcontractors	17
	6.6	RoHS	18
	6.7	REACH regulation	18
	6.8	Responsible Sourcing of Minerals	18
7	Δnn	plicable documents	19



Definition of terms

Batch: In production, a batch refers to the totality of units which are created,

manufactured or packaged under the same conditions.

Container: A container is a tool for the transportation, wrapping or protection of

goods, i.e. a pallet, cage box, cover plate, crate, etc.

Individual part An individual part is a technically described object that cannot be

disassembled without causing damage. At ZEISS, each productionrelevant individual part is assigned an unique material number. An individual part can occur once or several times in different modules or

SETs/KITs.

SET/KIT A set/KIT consists of several externally manufactured components.

This bundle of components has one or more common characteristics, e.g. supply via the same cleaning service provider or supplier. All components of the SETs/KITs are transported and stored in one

container.

Modul A module is a defined pre-assembled scope consisting of several

SETs and/or individual parts. Like the individual part, a module is also

managed under its own material number.

Packaging: Packaging can take the form of single-use materials (e.g. film used

for the delivery of cleaned goods or for the protection of parts) or

reusable packaging (e.g. reusable containers or inserts).

Part protection: Part protection takes the form of single-use composite materials

which are not permanently attached to the component and that are necessary to protect the part in the transport container (e.g. film for the delivery of clean parts, foam, air cushioning material, etc.).

Returnable packaging: Returnable packaging is designed to be used multiple times and is

put back into the packaging cycle after it is used. Returnable packaging is also referred to as returnable containers on the following

pages.

Serial number A serial number is a unique number used to label products so that

they can be tracked.



1 Objective and scope of the Supplier Manual

ZEISS Sparte Semiconductor Manufacturing Technology, hereinafter referred to as ZEISS, covers key processes in the manufacture of microchips within the semiconductor industry.

A good and efficient collaboration with our suppliers based on partnership is indispensable to enable us to offer our customers innovative and high-quality solutions. For this purpose, ZEISS works closely with a worldwide network of suppliers to jointly meet the ever-growing market requirements for quality, flexibility and competitiveness and thus achieve continuous improvement in its processes.

The present Supplier Manual provides a general description of the aspects essential to this end, as well as the requirements resulting from these aspects. This is intended to serve as a guide for you as a supplier and as a common foundation for good collaboration between you and ZEISS. If the information provided in this manual contradicts what has been laid out in your agreements or contracts with ZEISS (see item 4.2), the agreements and contracts shall take precedence.

This manual, as well as additional information for suppliers, can be found at https://www.zeiss.de under Contact > ZEISS Suppliers > Supplier Area > Documents for Suppliers > Carl Zeiss SMT GmbH.

2 Sustainability and responsibility

In addition to economic and ecological factors, social factors are also considered in the selection of, and collaboration with, suppliers. This is because ZEISS can meet its customers' expectations regarding sustainability and responsibility only if the suppliers also adhere to environmental and social standards and take their own part in ensuring sustainable development.

The supplier undertakes to comply with applicable law and the Code of Conduct of the Responsible Business Alliance (RBA – formerly EICC) and, in particular, not to comply with any third party

- perform actions that violate corruption laws, or
- offer or demand cash or material benefits in order to influence third parties to obtain or grant benefits in violation of their obligations.

Furthermore, the supplier will promote and demand compliance with the provisions of the RBA Code of Conduct from its suppliers in the best possible way. ZEISS may obtain information through a supplier self-report or, upon prior notice, carry out audits (audits) at the supplier in order to comply with the RBA Code of Conduct. The RBA's internationally recognized Code of Conduct is available in several languages at the following link:

http://www.responsiblebusiness.org/code-of-conduct/



The supplier shall continue to ensure compliance with all relevant legal environmental requirements (international, national, federal, regional and local, etc.). This includes the effective use of environmentally relevant resources such as water, soil and air, as well as the minimization of direct, indirect and cumulative environmental impacts such as emissions into the atmosphere, discharges into water or soil, release of noise-intensive energy and waste generation. The stages of the life path of the product must also be included. As a supporting tool for the systematic assessment of the environmental status and the realization of a continuous improvement of environmental performance, the implementation of an environmental management system is recommended. Certification according to DIN EN ISO14001 is therefore desirable. The supplier has to minimize a negative impact on the environment by appropriate measures. Influences on air, contamination of water and soil as well as the natural environment must be avoided. The supplier undertakes to use and use energy and resources in an ecologically meaningful way and to continuously ensure an improvement of his environmental behavior as a task by the entire organization.

We therefore expect:

- that our suppliers actively support us in the realization of our environmental-related actions. From order acceptance to final disposal.
- that our suppliers handle raw materials, products, packaging and waste in an environmentally conscious and appropriate manner.
- that our suppliers undertake to comply with all environmental and energy-relevant legal regulations, as well as to confirm in writing compliance with substance prohibitions and the non-use of prohibited substances.
- that during the implementation of a supply contract our suppliers use the necessary resources, in particular materials, energy and water, effectively and minimize the environmental impact, especially with regard to waste, waste water, air and noise pollution. This also applies to the logistics/transport costs.
- that our suppliers agree to orientate themselves with their processes and processes according to the usual environmental, energy and occupational health and safety management systems in accordance with future developments/customer demands.

3 Collaboration foundations

Competent, efficient and standardized communication between ZEISS and its suppliers is the basis for successful collaboration. Adhering to agreed arrangements and providing information about relevant changes immediately are essential components of positive collaboration.

3.1 ZEISS contact

Your ZEISS contact (materials controller / purchaser) is listed in your order.

3.2 Supplier contact

The supplier must provide ZEISS with the names and contact information of all persons responsible for supervising the entire supply chain (the email addresses, phone numbers and fax numbers of contacts, representatives and superiors).



4 Purchasing / Supply chain management

4.1 General Purchasing Terms and Conditions

The General Purchasing Terms and Conditions of ZEISS shall apply to all deliveries made to and services performed for ZEISS by the supplier, to the extent that other arrangements were not expressly made between ZEISS and the supplier.

The current version of our Purchasing Terms and Conditions can be found in the company information on our website or can be requested separately on demand.

4.2 Contracts / Agreements

For close collaboration with its suppliers, ZEISS relies on basic agreements which must be concluded in writing before establishing a business relationship. These include the following agreements:

- Nondisclosure agreement (NDA)
- Framework agreement
- Supplier self-assessment/profile via Supplier Portal (invitation by responsible purchaser)
- Quality assurance agreement (QAA)
- WEB-EDI user agreement

Depending on the material or service category to be supplied and the type of collaboration involved, it may be necessary to conclude further agreements in writing. These may include the following agreements:

- Purchase agreement
- Project agreement
- Modularization agreement
- N-tier agreement
- Logistics agreement
- Consignment contract
- Specific agreements for services and employee leasing
- Maintenance and service agreement
- Tool rental contract

The above contracts are not applicable to all suppliers and must be reviewed and coordinated with your responsible purchaser on a case-by-case basis.

4.3 Electronic data exchange

During the order process, ZEISS aims to exchange information with its suppliers electronically (EDI/WEB-EDI).

The Supplier Portal is used for document exchange between ZEISS and its suppliers. Here, interfaces and media disruptions are minimized, processes are simplified and shortened, and document exchange is performed more reliably, more safely and in a more environmentally friendly manner.



Via the Supplier Portal, documents and data which up to now have primarily been transmitted in paper form are now exchanged between ZEISS and the supplier in electronic form. Application of the Supplier Portal is conducted in several steps and includes the exchange of orders, changes in orders performed by ZEISS and order confirmations submitted by the suppliers.

The cost-free connection to the Supplier Portal is performed via Web-EDI (web based electronic data interchange) and the operating principle is as follows:

Orders generated by ZEISS and changes in orders are submitted to the portal. The supplier is informed about the receipt of, or changes to, the order by email and can enter the portal via his/her general login information and open and check the order process. It is possible to enter all information relevant to ZEISS and send a confirmation to ZEISS in just a few steps by simply entering the delivery deadline and the order confirmation number. The data transmitted by the supplier are automatically sent directly to the SAP system of ZEISS, and the respective order initiator is informed concerning any changes to the order.

As a supplement to the order process, the following modules are available in the Supplier Portal:

- RFQ/digital bidding
- Document transfer/WebFTP
- Document exchange
- Vendor Managed Inventory (VMI)
- Complaint handling/special releases
- Advanced Shipping Notification (ASN) / Delivery Note

It is also possible to connect using an EDI interface. In this case, the supplier shall incur the connection costs.

If information is exchanged via email, ZEISS will use TLS encryption (transport layer security) or end-to-end encryption with digital certificates (PGP or S/MIME) if the information is confidential.

For exchanging large amounts of data, additional tools (e.g. Brainloop) can be used.

The supplier must use the communication options specified here in order to ensure the safe exchange of data between both parties.

4.4 Supplier management / evaluation

ZEISS regularly conducts supplier evaluations based on the quality of the goods delivered and services rendered by the supplier; among other things, these evaluations are also considered when selecting suppliers and when considering further collaboration with the supplier.

The supplier evaluation is also the basis for the joint determination of objectives with the supplier in order to achieve continuous improvement. If these objectives are not achieved, and depending on the case in point, a supplier development program may be agreed in order to ensure that the supplier's planned delivery performance is achieved; alternatively, the volume of deliveries may be reduced or the supplier may even be black-listed.



The evaluation of all suppliers is based on the specified supplier-related logistics and quality data (hard facts).

- Adherence to deadlines
- Adherence to quantities
- VMI
- Complaint quota
- ppm

In the case of suppliers with the status of "Managed Supplier" within our SUCCESS program, criteria such as QM systems, health and safety/environmental management systems, logistics, price level, technology and commercial requirements (soft facts) will also be evaluated.

4.5 The SUCCESS supplier management program

ZEISS implements and develops suppliers according to the needs of the company using the SUCCESS supplier management program. The program takes into account current and future requirements and develops the suppliers accordingly. The goal here is to establish and maintain long-term partnerships.

4.6 Supplier onboarding

A potential partnership with ZEISS begins with ZEISS inviting the supplier to register itself in the Supplier Portal. This is where you create and manage your supplier profile using defined questionnaires. The more detail you provide in your supplier profile, the easier it will be for ZEISS to evaluate it. Once approved, your profile will become visible to all ZEISS departments, providing you with the opportunity to present your company across the entire ZEISS Group.



5 Logistics process elements

5.1 Procurement types for goods deliveries

Goods are order by ZEISS using the following types of procurement:

Individual order

Individual orders make up the main share of all procurement types. In this context, the operative procurement process is performed via material scheduling. Various standard delivery types (see 5.3) are possible.

Contract processing

Within the framework of contract processing, the supplier is provided with the material for processing, in addition to the order. Once the service contract has been fulfilled, or the services have been rendered, the supplier shall deliver the ordered material to ZEISS.

Consignment

For the delivery of regularly required parts, a consignment stock concept can be employed upon agreement with ZEISS. The supplier will maintain a consignment stock with a designated service provider or at a ZEISS facility. In the case of appropriation by the warehouse, the goods are posted to consignment stores. The goods remain the supplier's property until a transfer posting occurs upon withdrawal. Then the credit memo is generated and paid. The material is removed in accordance with the FIFO principle (first in/first out).

A German tax number is required for EU suppliers. A tax number is not required for non-EU suppliers, since the customs duties on their goods have already been paid in full.

Consignment concept requirements:

- Supplier is able to deliver on short notice
- Shuttle transport is arranged and performed regularly
- No significant quality issues
- Empty containers are transported to the supplier regularly and put back into the consignment cycle

The entire consignment process is specified in a separate agreement between ZEISS and the qualified supplier.

5.2 Works and services

Works and services are commissioned by ZEISS by means of individual orders on the basis of specifications and service descriptions. For services which are to be performed on a recurring basis, a suitable framework agreement must first be concluded. In the case of services performed on ZEISS premises, the relevant rules, in particular those laid out in the Occupational Health and Safety Manual (OHSM), are to be observed.



5.3 Standard delivery types

The following delivery forms are currently available at ZEISS (for a detailed explanation, please refer to the definitions of terms at the beginning of the document):

- 1) Single part
- 2) Modul
- 3) SET/KIT

5.4 Forecast

Suppliers can request a non-binding forecast (up to 18 months) from ZEISS. Upon receiving the forecast, the supplier reviews it and reports any potential capacity bottlenecks to ZEISS immediately.

If significant changes are made to the production schedule, separate information will be provided by ZEISS. If production delays such as these occur, the supplier will receive a new deadline for the rendering of its services.

5.5 Order processing

The supplier will be informed of ZEISS' needs via the agreed control concept in the form of an order.

Upon receiving the order, the supplier checks it for completeness, accuracy and plausibility, e.g.:

- Supplier name
- Part number
- Quantity
- Deadline
- Comparison of the version number on the drawing in the order with the version number of the currently valid drawing

If there are abnormalities, the ZEISS materials controller / purchaser is to be informed immediately.

On this basis, the suppler ensures that:

- Its sub-suppliers deliver the primary material accordingly
- It has enough production capacity for the provided demand forecast
- The deliveries are made to ZEISS on time

To this end, the supplier shall track orders internally on an ongoing basis and be able to provide information at any time regarding the status of production. The supplier shall also ensure that its sub-suppliers provide transparent order tracking.

Changes to replenishment times are to be communicated to the responsible ZEISS materials controllers in good time.

The supplier shall submit invoices to the client in the form of a PDF file via email to invoice@zeiss.com once the goods have been received by the client.



5.6 Traceability

The supplier must ensure that the products it delivers are traceable. The traceability system is to be presented to ZEISS during contract negotiations or in technical consultations and must be agreed upon with ZEISS. To ensure that the goods can be traced by ZEISS, they are to be clearly marked in accordance with the currently applicable ZEISS specifications.

5.6.1 Serial management

A serial number requirement may be necessary for process-related or technical reasons and must be agreed upon between the supplier and ZEISS. The serial number must appear on the part, the product label and the delivery note in accordance with the requirements laid out in the currently applicable labeling specification FU1016250.

5.6.2 Batch management

A batch number requirement may be necessary for process-related or technical reasons and must be agreed upon between the supplier and ZEISS. The batch number must appear on the product label and the delivery note in accordance with the requirements laid out in the currently applicable labeling specification FU1016250.

5.6.3 ID management

An ID requirement may be necessary for process-related or technical reasons and must be agreed upon between the supplier and ZEISS. The ID appear on the component and the product label in accordance with the requirements laid out in the currently applicable labeling specification FU1016250.

5.7 Replacement part availability, maintenance and repair

ZEISS expects the supplier to guarantee repairs, maintenance and replacement part availability for all rendered services for at least 10 years after the services are rendered, without limitation.

5.8 Communication and information flow

5.8.1 Order confirmation

If ZEISS requests an order confirmation, the supplier shall send the confirmation within three working days in accordance with the general terms and conditions. All changes to the order must be confirmed by means of a new order confirmation.

5.8.2 Overdue orders (supply backlog) and dunning process

The supplier must immediately and proactively inform ZEISS if it expects to miss the delivery deadline. The supplier will be notified by ZEISS of overdue deliveries.

Regardless of the notice, the supplier will be considered to be late with the delivery once the agreed calendar date or determined period of time has passed.



5.8.3 Supply bottlenecks

If the supplier recognizes that a delivery deadline or a delivery quantity it has agreed upon with ZEISS cannot be adhered to (e.g. because of technical issues, capacity bottlenecks, quality issues, etc.), it must proactively inform the respective materials controller / purchaser. This information is to be provided immediately along with the reasons for the delay, its expected duration and impact, and measures to resolve the delay are to be taken immediately.

Express shipping and special transport generally require the consent of the materials controller / purchaser. The costs of the special transport are to be incurred by the party responsible for its need.

5.8.4 Advanced Shipping Notification (ASN) of delivery

The supplier has the option of notifying ZEISS of the shipment. The supplier portal (web-EDI) and a direct connection (EDI) are available for this purpose. The portal also offers the option of generating the delivery papers using the ZEISS labeling specifications. The application takes place in coordination and after approval by ZEISS and is regulated by an additional agreement.

5.8.5 Supply Chain Monitoring

The overriding goal of SC monitoring is to increase transparency in the supply chain in order to ensure the supply of parts within the framework of modular procurement. The SC monitoring was set up to check the due dates in the order chain within a multi-level delivery network so that the partners downstream of the supply chain are informed in good time about delays. This earlier notification is intended to give the supplier more reaction time so that they can decide on measures to compensate for such delays before the delivery to ZEISS is impaired.

5.9 Customs and export control

The supplier is obligated in any event to comply with the foreign trade regulations (these include in particular export control and customs regulations) that are applicable in the country of delivery, or as the case may be, in its domicile, and where applicable, the requirements of the United States of America. The supplier shall identify the corresponding classification (export list item, number of the European dual-use list, or export control classification number) and indicate the applicable statistical product number (HS Code) and the country of origin in all the documentation (delivery note, invoice, etc.) accompanying the services required for export approval or subject to US (re)export requirements. If the owed services involve technologies in terms of technical knowledge in the form of drawings, CAD data models, analyses or comparable records, which are subject to US export control regulations (EAE, ITAR), the European Dual Use Ordinance or Export Control List, the Supplier must point this out in writing to the Client before concluding the Framework Agreement.

5.10 Hazardous substances

It must be ensured that the applicable requirements and laws are adhered to, and the necessary accompanying documents are present (mandatory datasheet), during acceptance, unloading and loading of hazardous goods and water-polluting substances.



5.11 Packaging

Transport packaging must be designed in accordance with the requirements of the currently valid

- packaging specification FUM 2134-920 26.

In addition to these general specifications, ZEISS can define item-specific specifications, in particular with regard to component contamination (see Specification for component cleanliness).

5.12 Labeling

5.12.1 Labeling of packaged products

General specifications for the uniform labeling of packaged products (smallest logistical unit) can be found in the labeling specification.

- Labeling specification FU 1016250

The marking must always be clearly visible and easily accessible so that it can be scanned.

General specifications for component marking incl. serialization can be found in the following specification:

- Specification for serialization and marking of components FUM 2196-416-53

5.12.2 Labeling and specifications for deliveries to ZEISS

The supplier is responsible for the proper preparation of the delivery papers. It ensures that all data and information required for transport logistics are completely and error-free documented on the shipping papers in plain text and barcode.

The carrier must be given a shipping order and, if applicable, export documents. In addition, the specifications for the creation and attachment of delivery bills must be complied with in accordance with the requirements of the currently valid labeling specification:

- Specification for delivery note and packaging label: Labeling specification FU 1016250

5.13 Transport

5.13.1 Incoterms

The Incoterms agreed upon during the procurement process shall apply.

5.13.2 Transport conditions

Special transport condition requirements, such as the transport of temperature and/or shock sensitive components, will be defined as needed by ZEISS during the transport and handling process and will be documented in the form of a packaging data sheet (see packaging specification [MU3]).

5.13.3 Unloading

Goods are in general unloaded from the rear. If goods need to be unloaded from the side, this needs to be agreed upon with the respective materials controller.



5.13.4 Goods delivery

The supplier must deliver on time and in the agreed quantities. The deadlines specified in the order are to be understood as the dates upon which the goods are received by ZEISS. The supplier must take the transport time into consideration in its scheduling, regardless of the agreed Incoterms. Goods must be delivered to the delivery address/delivery location specified for each order item. If the order contains different delivery locations, a separate delivery note must be created for each location.

The contact persons and, if applicable, additional special delivery requirements for each ZEISS location are available under the following link:

https://www.zeiss.de/corporate/zeiss-lieferanten/warensendungen-anzeiss.html#ansprechpartner

5.13.5 Labeling rush goods

To ensure that rush goods can be identified, they must be labeled with a notice in accordance with the normal commercial labeling practices of courier/express/parcel service providers and carriers.

6 Supplier quality

6.1 Contracts / Agreements

ZEISS expects its suppliers to have a Quality Management system in place (hereinafter called a "QM system") the content of which complies with the requirements of ISO 9001 (as amended). In addition, a quality assurance agreement (QAA) is concluded with the suppliers. This defines the ZEISS quality requirements and the cooperation to ensure quality.

6.2 Process control

Quality assurance in the production area must be ensured by means of continuous measurements and the use of statistical methods (e.g. SPC). The manufacturing and testing processes must be defined in a process plan and submitted to ZEISS upon request. In order to ensure high quality in series production at an early stage, Zeiss expects that advance quality planning is already established in the product development process. The quality management system must be demonstrably focused on the "zero errors" objective.

The supplier shall ensure, via its own quality assurance measures, that the specifications, drawings and addressed standards are correctly complied and ensured by means of process-related inspections. The delivery release for series operation is verified by an initial sample process (ISP) / first article inspection (FAI). The contents of the ISP (FAI) as well as the necessity are agreed individually and product-specifically with the supplier. This is followed by product and process approval. Ship-to-stock (STS) delivery shall be agreed separately as part of a quality assurance agreement.



6.3 Complaint / concession process (special releases)

If the supplier determines that the product or process deviates from the specifications, the supplier must immediately notify ZEISS (purchaser) of the deviation by means of a written concession request and obtain the further written disposal (release, rework, scrap) after consulting with ZEISS. All deliveries must be clearly and unambiguously marked. A copy of the toleration request signed by ZEISS must be enclosed with the shipment.

If ZEISS determines that the product deviates from the specifications, the supplier will be informed of the complaint in accordance with the criticality of the deviation via a 3D, 5D or 8D report and will be asked to provide a statement.

6.4 Change requests

The supplier must inform ZEISS in writing in a timely manner of planned changes and a written change request must be submitted to ZEISS. The completed change request must be sent to the responsible buyer or the named contact person. If ZEISS does not consent to the change request in writing, the supplier is not authorized to make the change.

The results of the change process shall be binding upon the Parties only if they are documented in writing and signed by the duly authorized representatives for either Party.

It initially does not matter if the change request involves an error correction, modification or an extension. "Change" as defined in this document means any change, particularly in the following areas (see also QAA):

- design/drawing changes
- process changes
- modifications to the product
- changes in the production method
- changes that could affect the form, function, performance, service life, usability, reliability or further processability of the product
- changes to materials, substances and auxiliary materials
- changes in the composition of the materials, substances and auxiliary materials
- changes in formulations
- replacement of or changes to purchased parts
- changes in inspections, tests and measuring procedures
- replacement of or changes in suppliers and/or subcontractors
- replacement of or changes to the machines or systems required to manufacture the product
- changes in or relocation of the production site

6.5 Subcontractors

Each supplier is responsible for ensuring that all products and services that he procures from sub-suppliers and uses for ZEISS products comply with ZEISS regulations. Each supplier must create its own instructions for this. If ZEISS specifies subcontractors, the supplier is also obliged to enforce the ZEISS regulations against the subcontractor.

Sub-suppliers must be qualified and released by the supplier in compliance with ZEISS regulations. The implementation of appropriate measures to improve process and product quality must be ensured by the supplier. The supplier has an appropriate evaluation system to monitor the quality and logistics performance of its sub-suppliers and to report them at regular intervals.



The supplier shall ensure that all processes and components necessary for the production of the product are approved by the sub-supplier. It ensures this through an appropriate release process that also takes into account the requirements of ZEISS.

In the event of changes (described in chap. 6.4), the supplier is responsible for their implementation at the sub-supplier. Approval processes must be carried out taking into account the ZEISS specifications. ZEISS must be informed accordingly of notifiable changes and must release them before implementation.

The change of a sub-supplier must be notified to ZEISS in good time and subject to approval. A first sample process (EMP) must be carried out. Before submitting the fully completed EMP documents, all approval procedures of the respective sub-suppliers must be available and approved. Unless ZEISS expressly waives this, these documents must be encased in the EMP documents.

ZEISS reserves the right to audit sub-suppliers as well. However, this does not relieve the supplier of his responsibility to the sub-supplier and ZEISS.

Unless otherwise agreed, full responsibility for sub-supplier management rests solely with the supplier. In case of questions or ambiguities, please contact the appropriate contact person in purchasing or in the supplier quality at ZEISS.

6.6 RoHS

The objective of the European RoHS (Restriction of Hazardous Substances) is to ban the use of problematic components in electronic equipment.

The substance ban in accordance with the current RoHS must be complied with. Conformity must be confirmed to Zeiss, e.g. through the CE declaration of conformity or the declaration of incorporation, by the first delivery at the latest.

In the case of incomplete RoHS compatibility, a list with the non-conforming components must be enclosed, stating the deadline for achieving RoHS conformity.

6.7 REACH regulation

The REACH regulation contains prohibitions of "substances of very high concern" (SVHC). A REACH declaration of conformity must be sent to ZEISS before the first delivery. If limits are exceeded, the exact material designation (CAS number) and weight proportion must be disclosed to ZEISS.

6.8 Responsible Sourcing of Minerals

Participants shall apply a policy and conduct due diligence on the source and chain of custody of tantalum, tin, tungsten and gold in the products they manufacture to ensure that they are sourced in a manner consistent with the Organization for Economic Cooperation and Development (OECD) Guidelines for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas or an equivalent and recognized due diligence framework. Information on this shall be provided to ZEISS upon request.



7 Applicable documents

All specifications mentioned here (labeling specification - component identification requirements in the material flow; logistics / packing specification; and cleaning specifications) can be requested from ZEISS and made available to the supplier if they have not been already. ZEISS will inform the supplier of changes to these specifications. Please use the currently applicable version of the specification.