



**Rocket
Products**

Supplier Management Documents

This document includes guidance on all mandatory supplier contracts, questionnaires, declaration forms and supplier onboarding pack documents

Version	Description of changes	Date	Auth	Appr.
V1	Create document	31.10.08	AG	DL
V7	Update to include new address	20.12.17	AG/KL	DL
V8	Update to include new address	01.08.19	AG/KL	DL
V9	Update Reach declaration terms and contractual terms	15.07.21	AG/MN	DL
V10	Reference to electronic light, sounds and movement components removed from Core Existing Suppliers section	08.07.22	MN/MB	DL
V11	DUPRO is no longer used. Reference to this has been removed from section - RFI (PSI) General Rules	17.06.23	MN/MB	DL
V12	Updated to reference the Supplier Onboarding Pack, including revised supplier questionnaire, product safety and compliance assessment, combined Social Accountability & Human Rights Declaration, Chemical Compliance Declaration, Conflict Minerals & Responsible Sourcing Declaration, ESG Assessment, Supporting Documentation Checklist and NDA.	18.07.23	MB	DL
V13	SMETA timing aligned to SUP001. Compliance scope and amendments made	11.08.26	CK/LP M/AR	DL

Supplier Management Procedural External Policy

For the purposes of this policy:

Company means LYONS PRESENTATIONS GROUP LTD.

Supplier means any factory, manufacturer, producer or other organisation supplying products, components or services to the Company.

Bespoke Product means a product specifically designed and developed for the Company or its clients, requiring the creation of a unique product design, tooling, mould or manufacturing process. Bespoke Products do not include standard stock promotional items where customisation is limited to branding, printing, engraving or other surface-level decoration.

Introduction

The Supplier Onboarding Pack contains the mandatory supplier questionnaires, declarations, supporting document checklist and confidentiality/NDA requirements used as part of the Supplier Management Process. The Supplier Manager is responsible and accountable for supplier onboarding, approval, ongoing monitoring, and supplier management, and shall ensure that all requirements of this policy are implemented, documented, and maintained.

This document details the policy structure for supplier onboarding where the company requires supplier approval, supplier grading, and supporting compliance evidence.

1. Factory Audit and product testing criteria.

The Company shall establish and maintain defined Quality Control (QC) and Quality Assurance (QA) criteria for the assessment and approval of suppliers and products. Where applicable, factory audits, inspections, and independent laboratory testing shall be completed in accordance with these criteria to verify compliance with the Company's quality, safety, and regulatory requirements.

Supplier Onboarding Requirements

The Company requires all suppliers to complete the Supplier Onboarding Pack as part of the supplier approval process and before the commencement of routine business activities. Where exceptional operational circumstances require a factory to be engaged before the Supplier Onboarding Pack has been completed, the Supplier Manager and Quality Manager may authorise a temporary exception, provided the rationale is documented, the associated risks are assessed, and all outstanding onboarding requirements are completed within an agreed timeframe.

The Supplier Onboarding Pack comprises the Supplier Questionnaire, the Social Accountability Declaration, the Modern Slavery Declaration, the ESG Supplier Assessment, the Chemical Compliance Declaration, the Supporting Documents Checklist, the Non-Disclosure Agreement (NDA), and the Submission Checklist.

The Supplier Onboarding Pack captures essential supplier data and confirmation of organisational, financial, production capacity, workforce, ethical, environmental, product safety, chemical compliance, responsible sourcing and quality management standards. It includes supplier information, factory capability, production capacity, product categories, export markets, compliance contacts, testing laboratories, certifications, insurance, subcontracting, product safety and compliance capability, social accountability and human rights, chemical compliance, ESG information and required supporting documents.

All new suppliers shall provide their latest available external social compliance or ethical audit report where applicable. The Company's preferred audit methodology is SMETA, and the Company is committed to working with suppliers towards achieving SMETA audit status where appropriate.

Audit methodology (including announced, semi-announced, or unannounced assessments) may be determined based on customer requirements, supplier risk level, and the nature of the supplier relationship. Where a factory does not currently hold a SMETA audit, alternative recognised assessments, including BSCI or other approved audits, may be considered based on supplier circumstances and risk assessment.

A satisfactory SMETA, BSCI, or other approved external audit report issued within the previous 12 months may satisfy the external audit evidence requirement. However, this does not remove the requirement for suppliers to complete all mandatory onboarding declarations, provide supporting documentation, and meet the Company's supplier approval requirements.

The Company shall issue the Supplier Onboarding Pack to all suppliers. Suppliers are expected to complete and return the required declarations, supporting documentation, and compliance information within an agreed timeframe.

Suppliers that have previously completed the Supplier Onboarding Pack shall complete an annual renewal review to confirm that supplier information, declarations, supporting documentation, and compliance information remain current. Updated information shall be provided where required.

Corrective Action Plans and Reports (CAPR)

Where a SMETA audit identifies non-compliances, the Company requires a SMETA Corrective Action Plan and Report (CAPR) to be submitted through the SMETA portal. For BSCI non-compliances, please use the following [link](#) for a CAPR template for submission. All CAPRs shall be shared with and notified to the Supplier Manager.

The Company will seek to review submitted CAPRs periodically, with a target review period of approximately 3-6 months following submission, subject to supplier risk, business priorities, and available resources. Where required, the Company may request updates, additional documentation, or further verification to confirm that corrective actions have been effectively implemented and non-compliances have been satisfactorily addressed.

Suppliers

Suppliers shall:

- Provide current audit information and supporting documentation upon request by the Company.
- Support periodic supplier visits conducted by Company representatives where required.
- Undergo independent external audits on an agreed basis to verify compliance with the Company's Social Accountability and Slavery Declaration requirements and applicable supplier standards, unless otherwise approved by the Supplier Manager and Quality Manager.
- Maintain and refresh relevant Supplier Onboarding Pack declarations and supporting documentation where information has expired, materially changed, or is requested by the Company.

Audit Frequency Requirements

Where required by customers or the Company, suppliers shall complete SMETA audits every 12 months to maintain eligibility to service applicable client requirements.

Where a supplier is not servicing a client requiring an annual SMETA audit, the Company may accept a SMETA audit renewal period of up to 24 months, subject to supplier risk, business requirements, and approval by the Supplier Manager or Quality Manager.

C-Graded BSCI audits shall be renewed every 12 months where this audit methodology applies. B-Graded BSCI audits shall be renewed every 24 months where this audit methodology applies.

The Company may conduct supplier reviews, including ad hoc assessments or visits, to verify compliance, monitor standards, and assess ongoing supplier suitability.

Testing

The Company may require product testing to verify compliance with applicable legal, regulatory, customer, quality and safety requirements. Testing may be conducted at any stage of production where deemed necessary. Where clients arrange their own product testing, the Company reserves the right to request and receive copies of test certificates, and to commission independent testing at its discretion. Suppliers shall fully cooperate by providing representative samples, technical documentation and any other information reasonably required. Where suppliers arrange testing on behalf of the Company or its clients, testing shall be conducted in accordance with the Company's specified requirements. The Company reserves the right to determine the testing criteria, applicable standards and preferred independent laboratory. Suppliers shall provide all samples, documentation and support necessary to complete testing within agreed timescales.

Where testing identifies non-conformities, suppliers shall investigate the cause, implement appropriate corrective actions and provide evidence of completion where requested by the Company.

Random Final Inspection (RFI) and Quality Control

1. Orders with a value of \$5,000 or more will normally be subject to a Random Final Inspection (RFI) by the Company's nominated independent inspection provider (for example, UL Solutions). The Company reserves the right to require a Random Final Inspection or other independent inspection for any order, regardless of value, based on factors including supplier risk, product complexity, customer requirements, or quality concerns.
2. Suppliers shall carry out Quality Control (QC) inspections where requested by the Company and provide the resulting inspection records, reports and supporting data upon request.

Quality Control (QC) and Random Final Inspection Requirements

1. The Company applies a risk-based approach when determining the requirement for quality inspections. Inspection requirements shall consider supplier history, product complexity, customer requirements, and commercial risk.

Quality Control (QC) Inspections

1. Additional QC inspections may be requested at any stage of production where there is an identified increased quality risk. Triggers for a QC inspection may include, but are not limited to:
 - First production order with a new supplier.
 - First production run of a new product or significant product change.
 - New materials, components, packaging formats, or manufacturing processes.
 - Products requiring specific compliance, testing, or regulatory requirements.
 - Products with complex construction or multiple components.
 - Previous quality issues, customer complaints, or high defect rates.
 - A supplier with a history of inconsistent quality performance.
 - Orders for key customers, seasonal launches, or time-critical deliveries.
 - Where the Quality Team identifies a potential quality concern based on previous experience, supplier communication, or other risk indicators.

Random Final Inspections (UL)

1. A Random Final Inspection shall normally be conducted for orders with a purchase value of \$5,000 or more.
2. A Random Final Inspection may also be required regardless of order value where any of the following apply:
 - First order with a new supplier.
 - First production run of a new product or significant design change.
 - Products with specific safety, legal, or customer compliance requirements.
 - Orders containing new artwork, labelling, or packaging requirements.
 - Previous quality failures or unresolved corrective actions.
 - Supplier performance concerns or insufficient production history.
 - A customer specifically requests a third-party inspection.
 - The Quality Team considers the order to present an increased risk.

Late delivery clause:

Suppliers shall manage production to meet all agreed delivery dates and promptly notify the Company of any actual or anticipated delays that may affect production or shipment.

The Supplier shall not be held responsible for delays resulting from changes to the order specification, artwork, quantities, delivery requirements, or other instructions requested by the Company or its clients after order confirmation, provided such changes have been communicated and any revised production or delivery timelines have been agreed.

Where delays result from the Supplier's failure to meet agreed production schedules, effectively manage production, or communicate foreseeable risks in a timely manner, the Supplier may be responsible for any reasonable additional costs, losses or order cancellations incurred by the Company.

2. Supplier Contract

Suppliers are engaged on a per-order basis. The accepted Purchase Order and any agreed product specifications form the contractual agreement for that order.

By accepting a Purchase Order, suppliers confirm that they have read, understood and agree to comply with the Company's Supplier Policy and the Supplier Onboarding Pack.

Suppliers shall complete all required onboarding declarations and provide supporting documentation requested by the Company, including (where applicable) the Social Accountability Declaration, Modern Slavery Declaration, Chemical Compliance Declaration, Conflict Minerals and Responsible Sourcing Declaration, ESG Supplier Assessment, Non-Disclosure Agreement (NDA), and any applicable certifications.

Suppliers shall maintain compliance with all declarations, certifications and commitments provided to the Company throughout the business relationship and shall promptly notify the Company of any material changes that may affect compliance or supplier approval.

The Company may use information provided during onboarding and ongoing supplier reviews to assess supplier approval, supplier risk and continued eligibility to supply products.

Where suppliers hold recognised third-party certifications or ethical audit reports, they shall maintain these in accordance with the relevant certification or audit requirements and provide updated evidence upon request.

3. Supplier Onboarding Pack

The Supplier Onboarding Pack is a mandatory requirement for all new suppliers before commencing business with the Company. Suppliers shall provide accurate and complete information relating to their organisation, financial standing, production capability, workforce, ethical practices, environmental management, quality systems and compliance standards.

The Supplier Onboarding Pack is used to assess supplier suitability and ensure that suppliers have appropriate systems and controls in place to support product safety, regulatory compliance, traceability, testing requirements, material control, change management, chemical compliance and quality assurance.

Suppliers shall ensure that all information provided remains accurate and up to date and shall notify the Company of any material changes that may affect their ability to meet the Company's requirements.

Quality Incidents and Corrective Actions

Any product quality issue that is unusual, abnormal, or may present a potential safety, contamination, compliance or reputational risk shall be treated as a Quality Incident.

Where a Quality Incident occurs, suppliers shall:

1. Immediately notify the Company of the issue and provide relevant details.
2. Conduct a root cause investigation.
3. Implement appropriate corrective and preventive actions to prevent recurrence.
4. Provide a Corrective Action Plan and Report (CAPR) within the agreed timeframe.
5. Provide supporting evidence to demonstrate completion of corrective actions where requested.

The Company may record and monitor Quality Incidents through the Quality Incident Log, including the issue identified, investigation findings, corrective actions and closure status. Incidents shall remain open until corrective actions have been reviewed and accepted by the Company.

Suppliers shall cooperate fully with any investigation or improvement actions requested by the Company. Where inspections, audits or reviews identify areas requiring improvement, the Company will work with the supplier to agree appropriate corrective actions and timescales for resolution.

4. Social Accountability Declaration & Modern Slavery Declaration

The Social Accountability Declaration and Modern Slavery Declaration form part of the Supplier Onboarding Pack and are mandatory requirements for all new suppliers.

These declarations confirm the supplier's commitment to comply with applicable labour laws and internationally recognised human rights principles, including the UK Modern Slavery Act 2015, International Labour Organization (ILO) Core Labour Standards, Ethical Trading Initiative (ETI) Base Code Principles, SA8000 Principles, and applicable local labour legislation.

The declarations cover key areas including child labour, forced labour, bonded labour, prison labour, human trafficking, freedom of movement, retention of personal documents, wages and benefits, working hours, grievance mechanisms, discrimination, harassment and abuse, freedom of association, health and safety, subcontracting controls, and notification of labour rights investigations or enforcement actions. Suppliers shall ensure that equivalent standards are communicated and applied throughout their own supply chain, including approved subcontractors and manufacturing partners involved in the production of goods supplied to the Company.

The declarations are issued electronically through Google Forms. Suppliers are required to complete and submit the forms online using a logged-in Google account within an agreed timeframe. Forms must not be submitted by email or provided in an editable format unless prior approval has been granted by the Company.

Suppliers shall ensure that all information provided is accurate, complete and current and shall notify the Company of any material changes that may affect their continued compliance.

Where concerns, discrepancies or areas for improvement are identified through audits, inspections, reviews or supplier declarations, the Company will discuss these with the supplier and agree appropriate corrective actions and timescales for resolution.

5. Chemical Compliance Declaration

The Chemical Compliance Declaration forms part of the Supplier Onboarding Pack and replaces the previous SVHC Declaration (REACH) Questionnaire. The updated declaration expands the scope of chemical compliance requirements to provide a broader assessment of restricted substances, material transparency and product compliance controls.

The declaration confirms the supplier's understanding of, and ability to manage, applicable chemical compliance requirements, including REACH, Substances of Very High Concern (SVHCs), Persistent Organic Pollutants (POPs) Regulation, PFAS, SCCPs, heavy metals, California Proposition 65 where applicable, CPSIA where applicable, material disclosure requirements, Restricted Substances Lists (RSL), Manufacturing Restricted Substances Lists (MRSL), material change notification and disclosure of regulated substances.

The Chemical Compliance Declaration may be requested where:

- A customer requires verification that products do not contain harmful or restricted substances.
- New or bespoke products are developed where material composition requires assessment.
- Products contain, or may contain, higher-risk materials, functional treatments, coatings, recycled materials, mineral-derived materials, batteries, electronic components or food contact materials.
- The Company requires confirmation that a material, supplier, formulation, production location, manufacturing process or packaging change has been assessed before production.

Suppliers shall disclose any known or suspected regulated substances and shall notify the Company immediately where:

- A supplied product fails compliance testing.
- A regulatory authority raises a compliance concern.
- A product recall or withdrawal occurs.
- A material supplier reports a compliance issue.
- A restricted substance is identified in supplied materials.

Suppliers shall maintain appropriate supporting documentation, including test reports, declarations, material specifications and other compliance evidence, and shall ensure that relevant chemical compliance requirements are communicated throughout their supply chain, including approved subcontractors and material suppliers.

6. Product Safety and Hazardous Materials

Suppliers shall ensure that all products supplied to the Company comply with applicable international, European and UK product safety legislation and customer-specific requirements.

Suppliers shall not manufacture or supply products containing prohibited or restricted substances identified by the Company or applicable legislation.

Chemical compliance risks, including PVC, PFAS, POPs, SCCPs, SVHCs, restricted substances and functional treatments, shall be assessed through the product development process and Chemical Compliance Declaration where applicable.

Suppliers shall ensure that:

- Rubberised PVC products are confirmed as Phthalate Free where applicable.
- Products containing metals are assessed and supported by appropriate declarations where required.
- Products do not contain prohibited substances, including PFAS, asbestos-containing materials or other restricted substances identified by the Company.

Suppliers shall provide supporting declarations, test reports or certification where requested.

Product Contamination Prevention

Suppliers shall maintain effective controls to prevent contamination of products by pests, insects, animals, foreign matter, dust, debris and other environmental contaminants throughout production, storage and dispatch. Facilities shall implement appropriate housekeeping, waste management, pest control and product protection measures proportionate to the manufacturing environment and product risk.

Where contamination risks are identified, suppliers shall take immediate corrective action and notify the Company where product safety, quality or compliance may be affected.

Anti-Dumping Duty (ADD) Compliance

As part of the Company's supplier approval process, all ceramic suppliers are required to provide a valid Anti-Dumping Duty (ADD) number and supporting documentation.

The Company will only approve ceramic suppliers that can demonstrate valid ADD compliance and maintain the required documentation throughout the supplier relationship.

Suppliers shall immediately notify the Company if their ADD number expires, is revoked, becomes invalid, or if there are any changes that may affect their ADD compliance status.

Where ADD compliance cannot be maintained, the Company reserves the right to suspend affected orders, require products to be re-sampled and re-approved through an approved compliant manufacturing source, or terminate the supplier relationship.

Any costs, delays, duties, penalties or additional expenses arising from the supplier's failure to maintain valid ADD compliance shall be the responsibility of the supplier.

7. Conflict Minerals & Responsible Sourcing Declaration

The Conflict Minerals and Responsible Sourcing Declaration forms part of the Supplier Onboarding Pack and is required where products contain, or may contain, minerals, metals or raw materials requiring responsible sourcing consideration.

Suppliers are responsible for identifying and disclosing whether products, materials or components supplied to the Company contain, or may contain, conflict minerals, metals or other raw materials requiring responsible sourcing consideration. This responsibility applies regardless of whether the requirement is identified by the Company.

The declaration supports the Company's assessment of responsible sourcing practices and requires suppliers to confirm the materials, components and product categories relevant to their supply. The declaration includes examples of materials requiring consideration, including conflict minerals, metals, electronic components, batteries and mineral-derived materials.

Suppliers are required to confirm whether they maintain a responsible sourcing policy, conduct appropriate due diligence on their mineral, metal and raw material supply chains, can provide supporting documentation upon request, and require their own suppliers and subcontractors to comply with responsible sourcing requirements.

Suppliers shall notify the Company of any material changes to product composition, sourcing practices, material suppliers or manufacturing processes that may affect responsible sourcing compliance.

Where requested, suppliers shall provide supporting documentation, declarations or traceability information to demonstrate responsible sourcing controls within their supply chain.

8. ESG Supplier Assessment

The ESG Supplier Assessment forms part of the Supplier Onboarding Pack and captures environmental, social and governance information relevant to supplier approval, risk assessment and ongoing supplier review.

Suppliers are required to provide accurate and complete information regarding their environmental, social and governance practices and shall notify the Company of any material changes that may affect their ongoing compliance or ESG performance.

The assessment covers key areas including environmental management practices, environmental policies and targets, packaging, energy and carbon management, waste reduction, environmental certifications, social audit status, health and safety practices, employee training, grievance mechanisms, employee welfare, anti-discrimination practices, employee turnover, ethical business practices, anti-bribery and corruption controls, whistleblowing procedures, supplier codes of conduct, compliance records and significant compliance investigations.

Suppliers are expected to maintain appropriate ESG practices within their own operations and encourage equivalent standards throughout their supply chain, including approved subcontractors and manufacturing partners.

9. Supporting Documentation Checklist

The Supporting Documentation Checklist forms part of the Supplier Onboarding Pack and is used to confirm that required supplier evidence has been requested, received, and reviewed where applicable.

Suppliers shall provide accurate and current supporting documentation relevant to their operations, products and compliance requirements. Requested documentation may include:

- Business Licence / Company Registration and Tax Registration Certificate.
- Factory Organisation Chart and Factory Profile / Company Brochure.
- Latest SMETA or BSCI audit and Corrective Action Plan Report (CAPR) if applicable.
- SEDEX membership information if applicable.
- ISO 9001 certificate, Quality Manual or Quality Policy and internal inspection procedures.
- ISO 14001 certificate, Environmental Policy, Sustainability Report or Carbon Reduction Programme where available.
- Recent product test reports, material specifications, product safety certifications and FSC, GRS or OEKO-TEX certificates where applicable.
- Product Liability Insurance Certificate and Public Liability Insurance Certificate.
- Factory, production line and warehouse photographs and key contact list.
- Optional documents such as responsible sourcing policy, anti-bribery policy, whistleblowing policy, supplier code of conduct and Modern Slavery Statement.

10. Non-Disclosure Agreement

The Supplier Onboarding Pack includes a Non-Disclosure Agreement (NDA), which may be required before confidential information is shared with a supplier.

Confidential information may include customer information, licensor information, product concepts, artwork, technical drawings, samples, prototypes, tooling information, pricing, specifications, testing reports and compliance documentation.

Where a customer or licensor requires specific confidentiality terms, suppliers may also be required to sign additional customer-specific NDA terms or comply with confidentiality obligations communicated by the Company.

Suppliers shall protect confidential information received from the Company and shall not disclose or use such information except for the purpose for which it was provided.

11. Summary of Supplier Forms

The Supplier Onboarding Pack comprises the following documents and supporting evidence requirements:

- Supplier Questionnaire.
- Product Safety and Compliance Capability Assessment.
- Social Accountability Declaration.
- Modern Slavery Declaration.
- Chemical Compliance Declaration.
- Conflict Minerals and Responsible Sourcing Declaration, where applicable.
- ESG Supplier Assessment.
- Supporting Documentation Checklist.
- Non-Disclosure Agreement.
- Supplier Confirmation Checklist.

The Company seeks to build long-term relationships with suppliers who share its commitment to responsible business practices, continuous improvement, ethical sourcing and sustainable development.