



VAN LANSCHOT  
KEMPEN

# Supplier qualification guide

Van Lanschot Kempen is committed to introducing responsible business practices that make it easier for our suppliers to do business with us.



## Responsible business practices

Van Lanschot Kempken is committed to introducing responsible business practices that make it easier for our suppliers to do business with us.

To support this commitment, we use the Hellios Financial Supplier Qualification System (FSQS-NE).

It is designed to standardise and manage our requests for compliance and assurance data, along with other major financial services organizations that have adopted FSQS-NE.

As the regulatory environment becomes more complex, it's important that we can demonstrate to our stakeholders that we're working responsibly with our suppliers to minimize risk and protect customers. The introduction of FSQS-NE provides a standard and simple mechanism for collecting and managing supplier assurance information across Van Lanschot Kempken. FSQS-NE is also an integral part of our sourcing process.

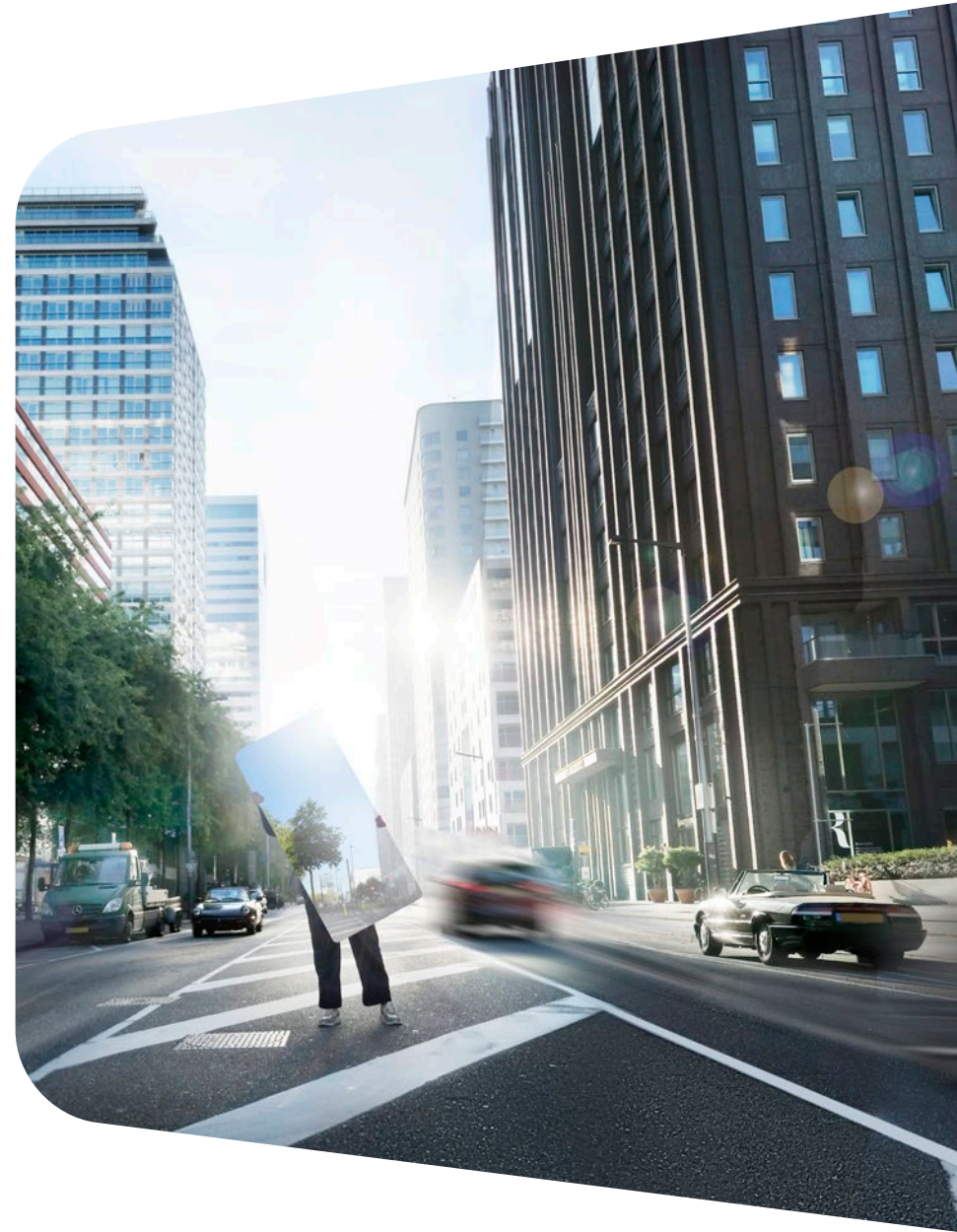
Our Procurement Specialists also use the system to find pre-qualified suppliers to be considered for new business. Qualified supplier status gives visibility across our procurement process and, therefore, creates potential new business opportunities.

## Benefits for Suppliers

- › A single online process to submit assurance and compliance data – reducing duplicate requests from Van Lanschot Kempen and other financial services customers to whom you provide goods and services.
- › Compliance requirements that are proportionate to the products and services being provided.
- › An online supplier profile that can be updated throughout the year to demonstrate your ongoing compliance with our policies.
- › Qualification means that suppliers won't have to provide assurance information each time they bid for business with us.

## How to gain qualification

There are two levels of qualification. **Stage 1 Qualification** collects basic information about your organization and is used to determine whether **Stage 2 Qualification** is necessary, based on the nature of the goods or services being supplied. For example, if a supplier deals directly with our customer data, then they will be asked to demonstrate how they comply with relevant regulatory requirements.



## A simple two-stage process

### Stage 1 Qualification

Suppliers will receive an email invitation to complete an online questionnaire. The invitation will come from Hellios, an external partner, who has been appointed to collect and administer the data on behalf of Van Lanschot Kempen. The questionnaire should take around one hour to complete. This information will allow us to determine whether your organization only requires Stage 1 Qualification or is required to complete Stage 2 Qualification.

### Stage 2 Qualification

Stage 2 requires the completion of a more detailed online questionnaire and, in some areas, may require the provision of supporting evidence. To make the process as efficient as possible, most of the questions have selectable answer options rather than requiring lengthy written responses, and no proprietary, contractual or pricing information will be asked. This stage typically covers your policies and practice in areas such as:

- |                                 |                          |
|---------------------------------|--------------------------|
| - Anti-Bribery                  | - Cyber Security         |
| - Sanction                      | - Records Management     |
| - Remuneration                  | - Diversity & Inclusion  |
| - Customer Treatment            | - Environmental          |
| - Products and Sales            | - Data Management        |
| - Anti-Money Laundering and CFT | - GDPR                   |
| - Health & Safety               | - Physical Security      |
| - Whistleblowing                | - Operational Resiliency |
| - Business Continuity           | - IT Asset Management    |
| - Information Security          | - Conduct Risk           |

Funding of FSQS-NE is shared by Van Lanschot Kempen and the other Financial Services organizations that will use the system, and larger suppliers. If your organization is an autonomous small, medium or micro-sized enterprise (SME), then registration on FSQS-NE is subsidized 100% i.e. there is no charge. For non-SME organizations and for more information on the registration process and associated fees, visit <https://hellios.com/fsqs-ne-fees>. Following Stage 2 qualification, Van Lanschot Kempen may wish to conduct further assurance activities including an on-site audit. This will be conducted by Van Lanschot Kempen and will incur no further fees.

### Timelines for qualification

Existing suppliers to Van Lanschot Kempen are given up to eight weeks to complete qualification for the first time, to allow sufficient time for familiarization with the new questionnaires and process. However, we expect most suppliers will be capable of completing qualification in significantly less time. Suppliers bidding for new business with Van Lanschot Kempen may need to complete the qualification much more quickly in accordance with procurement timescales. Hellios will advise the deadline dates for completion in the FSQS-NE email communications that will be issued.

\* An SME is defined as an enterprise which has less than 250 employees and a turnover of less than €50m (including any consolidated figures should the enterprise belong to a group of companies).

## Frequently asked questions

### **Why has Van Lanschot Kempen introduced a Financial Supplier Qualification System?**

Suppliers told us that our process for collecting compliance and assurance information was complex and time-consuming. The introduction of an online system simplifies the process for suppliers to submit information and prevents suppliers from receiving multiple requests from Van Lanschot Kempen for qualification data. It is also important that we (your organization and Van Lanschot Kempen) can demonstrate to our stakeholders that we are working together responsibly to minimize risk across our supply chain to protect our customers. As the regulatory environment we operate in becomes more complex, it is vital that we have a robust system in place to support the collection and maintenance of Supplier Assurance data and respond to regulatory change.

### **Who is Hellios?**

Hellios Information B.V is based in the Netherlands. The team has extensive experience in collecting and maintaining supplier information on behalf of a number of global blue-chip companies.

### **What is the role of Hellios?**

Van Lanschot Kempen has appointed Hellios to collect and administer Supplier Assurance related data on behalf of Van Lanschot Kempen. Hellios will collect and check the data provided by suppliers and ensure the data is maintained on the Financial Services Supplier Qualification System (FSQS-NE). Hellios is an approved supplier of Van Lanschot Kempen. Hellios does not assess a supplier's suitability for qualification. That decision rests with Van Lanschot Kempen.

### **How does Hellios protect the data we provide?**

The FSQS-NE application, infrastructure, and data storage are hosted in the EU in data centers that are SSAE18 SOC2 and ISO27001 certified. Encryption to the latest industry standards is employed. Hellios ensures the limited amount of personal data collected is fully compliant with the GDPR and Data Protection Act 2018. Hellios is certified to ISO27001 and Cyber Essentials Plus, the National Cyber Security Centre standard backed by the UK Government.

### **Do we have to register each of our legal entities separately?**

Yes, your organization is required to register any legal entity that submits an invoice to Van Lanschot Kempen.

### **Will other suppliers have access to the information we provide?**

No, other suppliers will not have access to the information you provide.

### **Will assurance information be available across Van Lanschot Kempen?**

Yes, one of the benefits of the new system is that suppliers' assurance information will be available to other areas in Van Lanschot Kempen. This will reduce requests for duplicate information from us.

### **Will I be asked to provide pricing information on my company's products and services?**

No, your organization will not be asked to provide any commercial information of this nature.



### **If I'm required to apply for Stage 2 Qualification, how do I pay the fee to Hellios?**

Hellios will provide full details of the payment options available however we recommend suppliers make an online payment to Hellios so that you can submit the questionnaire as soon as possible.

### **How long is qualification valid for?**

The qualification must be renewed annually, all the answers will be pre-populated to facilitate the process. Hellios will issue reminders to suppliers several weeks in advance of their qualification expiry deadline.

### **How long does it take to complete qualification?**

Typically, we find it takes less than one business day to enter the information in the system (if you're asked to complete both stages). However, the time required to collate the information varies dependent on the size of an organization. Larger organizations often have to source the data from a number of internal departments and therefore we're giving existing suppliers approximately eight weeks to complete qualification.

### **As an existing supplier, what happens if I fail to apply for qualification within the assigned timelines?**

Suppliers will be fully supported by Hellios throughout the qualification process. However, failure to complete qualification will result in a supplier being classified as non-compliant in our internal systems.

## Contact us

### Who can I contact for further information?

Please find below the contact information for Hellios Information B.V.

#### Hellios Information B.V.

+31 20 399 47 30

FSQS-NE@hellios.com

8:30 am – 17:30 pm, Monday to Friday



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