<table>
<thead>
<tr>
<th>Table of Contents</th>
</tr>
</thead>
<tbody>
<tr>
<td>What is Responsible Sourcing? .................................. Page 3</td>
</tr>
<tr>
<td>Vision and Mission .................................................. Page 4</td>
</tr>
<tr>
<td>Audit Process .......................................................... Page 5</td>
</tr>
<tr>
<td>How to Attach a New or Existing Factory to your Profile or Disassociate from a Factory .... Pages 6-24</td>
</tr>
<tr>
<td>How to Attach a Factory to an Item</td>
</tr>
<tr>
<td>Walmart ................................................................. Pages 25-34</td>
</tr>
<tr>
<td>Sam’s ................................................................. Pages 33-38</td>
</tr>
<tr>
<td>Definitions &amp; FAQs ................................................ Pages 39-44</td>
</tr>
</tbody>
</table>
What is Responsible Sourcing?

**Responsible sourcing** is buying and selling merchandise through a **socially and environmentally responsible supply chain**, built by monitoring and strengthening working conditions and environmental practices.
Mission

Our mission is to **drive responsibility** in our world class supply chain, and to **lead and inspire** others to do the same, through:

- Define **responsibility** and **drive compliance** with our merchants and suppliers
- **Add value** for merchants and suppliers through knowledge, tools, transparency and efficiency
- Proactively lead collaborative efforts to **innovate and align standards** across the industry
Disclosure/Audit Process

- Disclosure takes about 15 minutes
- Factory Attachment typically takes 24 - 48 hours
- Audit frequency depends on previous audit findings
- Disclosure resources can be found on Retail Link:
  Retail Link > Docs > R > Responsible Sourcing
# Table of Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Pages</th>
</tr>
</thead>
<tbody>
<tr>
<td>What is Responsible Sourcing?</td>
<td>Page 3</td>
</tr>
<tr>
<td>Vision and Mission</td>
<td>Page 4</td>
</tr>
<tr>
<td>Audit Process</td>
<td>Page 5</td>
</tr>
<tr>
<td>How to Attach a New or Existing Factory to your Profile or Disassociate from a Factory</td>
<td>Pages 6-24</td>
</tr>
<tr>
<td>How to Attach a Factory to an Item</td>
<td></td>
</tr>
<tr>
<td>Walmart</td>
<td>Pages 25-34</td>
</tr>
<tr>
<td>Sam’s</td>
<td>Pages 33-38</td>
</tr>
<tr>
<td>Definitions &amp; FAQs</td>
<td>Pages 39-44</td>
</tr>
</tbody>
</table>
Walmart/Sam’s Club Factory Disclosure

- From Retail Link home screen, select Apps.
Walmart/Sam’s Club Factory Disclosure

- In the **Filter these results** option, enter **Supplier Profile**.

---

**RS - Supplier Reference Guide, August 2016**
Walmart/Sam’s Club Factory Disclosure

- **Supplier ID, Company Name, and Address** will display at the top of the page.
- If empty, as in the below example, complete by doing the following action:
  - Click **Application**
  - Enter **Supplier ID** number
  - Scroll down to the **Factory Overview** section of the page
Walmart/Sam’s Club Factory Disclosure

- Click **Request New Factory** from the drop down menu in the **Factory Overview** section, then click **Submit**.

![Image of Factory Overview section with arrows pointing to Request New Factory and Submit buttons]
Select an **Importer of Record (IOR)**.

If the supplier is responsible for customs clearance, **select the IOR based on the Walmart retail market** to which the product is being sold.

**Examples of options available to select as IOR:**

- USA Supplier
  - or
  - Canada Supplier

If **Walmart** is responsible for customs clearance, select **Walmart** as the IOR.
Walmart/Sam’s Club Factory Disclosure

• Select the **Importer of Record** from the drop down.
• *Reach out to Retail Market Responsible Sourcing contact for direction, if needed.*
Walmart/Sam’s Club Factory Disclosure

- Select **Factory Type**:
  - Select **Primary** if this is the main production facility.
  - Select **Component** if the factory makes a component of the product.

![Image of Supplier Reference Guide, August 2016](image-url)
Walmart/Sam’s Club Factory Disclosure

- Complete **Factory Name, Address, Country, and City** details.

- If the city is not listed in the drop down box, leave the drop down so **Select** is showing, a box below **City** name will appear. Then type the city name.
Walmart/Sam’s Club Factory Disclosure

- Select the **Major Products** type produced by the factory and the **Year (the factory was) Established**.

- If you do not have accurate values for **Warehouse Area, Production Area, Production Capacity**, and **Total No. of Employees**, please enter **9999** to move your request forward.

- **You will need actual square footage and number of employees when contacted by the third party audit firm to complete the audit process.**
Walmart/Sam’s Club Factory Disclosure

• If Walmart is selected as the **Importer of Record**, a prompt will appear to enter the additional information shown on this slide. With a USA supplier, this will not be displayed.

• Follow up with your Sourcing contact if you unsure which office to enter. If you do not have the accurate values for **PO Quantity**, **Item Description**, and **Stock Number** information, please enter **9999** to move request forward.
Walmart/Sam’s Club Factory Disclosure

• Select the primary **Retail Market** the factory is intended for and the **Department (Number)**. Type the **Merchandiser/Buyer** (full name) and type the primary **Brand Name** the factory is intended for. *If there are multiple buyers or brands, you may list one or all of them.*
Walmart/Sam’s Club Factory Disclosure

• **Supplier Name, Address, City, Country, and Postal Code** will auto-populate based on the **Supplier ID** selected previously.

• Include a **Contact Person** and **Supplier Telephone** number. (The **Contact Person** is the supplier contact that receives notifications from the Responsible Sourcing team regarding factories.)
Walmart/Sam’s Club Factory Disclosure

- Key the factory’s (Business) License Number (or your company’s tax ID number) and attach a copy of the factory’s business license or the company’s tax ID.

- Walmart will require the factory’s business license in countries where applicable.
Walmart/Sam’s Club Factory Disclosure

- Key the **Factory Contact Information** for the factory contact. If there is more than one contact, click **Add More** after entering the first line of contact information.

- Ensure to identify the **primary contact** by clicking the **radio button** under **Primary Contact**.

- If this is an existing Walmart approved factory, key: “**This is an existing Walmart factory.** Enter Factory ID, Factory Name, and Address in the Comments section of the form before clicking **Submit**.
Walmart/Sam’s Club Factory Disclosure

- After clicking **Submit**, it will have successfully submitted your request for a new factory or to associate to an existing factory, the above message will be displayed.

- Click **Ok** to complete request. Once this form is processed, the factory can be reviewed in the **Factory Overview** section of the **Supplier Profile** page on Retail Link.
Walmart/Sam’s Club Factory Disclosure

• Once the request is submitted, the Responsible Sourcing team will ensure the factory does not already exist in Retail Link.

• If it is an existing factory, the Supplier ID number will be associated to the factory.

• If it is a new factory, a Factory ID number will be assigned and the requesting supplier may be contacted by a Walmart-approved third party audit firm to arrange payment and to schedule the initial audit.

• If the factory is audited, the factory’s assessment rating will be updated in Retail Link and Supplier ID numbers associated to the factory will receive an e-mail notice of the assessment.

• Being on Retail Link does not give authorization to begin production. The factory must be “Active” before production begins. **Production in an inactive factory will be considered unauthorized production.**
Walmart/Sam’s Club Factory Activation/Disassociation

- From **Supplier Profile**, scroll down to **Factory Overview**. From the **Request New Factory** drop down, select (options include):
  - **Reactivate Request** to reactivate a factory.
  - **Disassociation Request** to disassociate from a factory.
- Click **Submit** and follow prompts, including the reason for Inactivation, Reactivation, or Disassociation.
Walmart/Sam’s Club Factory Activation/Disassociation

• **Reactivating a Factory:** Submit this request if planning to use a factory with an “inactive” status for Walmart/Sam’s production.

• **Factory Disassociation:** Submit this request if the factory if you are not using a factory you are associated with and have no future plans for Walmart/Sam’s production.

• The following ratings will not be removed from the supplier’s matrix unless the factory is re-audited.
  - **Red-Disapproved** - can be reactivated after 1 year suspension from assessment date after a full scope audit is completed and assessed Yellow or Green
  - **Red- Denied** - can be reactivated with upon re-audit if the factory achieves a green or yellow rating.
  - **Red Failed** - Factory is permanently terminated
  - **Red Unauthorized** - approval of full scope audit through Sr. Director Responsible Sourcing governance. Audit must verify violations resulting in the Red Unauthorized rating have been remediated.
# Table of Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Pages</th>
</tr>
</thead>
<tbody>
<tr>
<td>What is Responsible Sourcing?</td>
<td>Page 3</td>
</tr>
<tr>
<td>Vision and Mission</td>
<td>Page 4</td>
</tr>
<tr>
<td>Audit Process</td>
<td>Page 5</td>
</tr>
<tr>
<td>How to Attach a New or Existing Factory to your profile or Disassociate from a Factory</td>
<td>Pages 6-24</td>
</tr>
<tr>
<td>How to Attach a Factory to an Item</td>
<td></td>
</tr>
<tr>
<td><strong>Walmart</strong></td>
<td><strong>Pages 25-34</strong></td>
</tr>
<tr>
<td>Sam’s</td>
<td><strong>Pages 33-38</strong></td>
</tr>
<tr>
<td>Definitions &amp; FAQs</td>
<td>Pages 39-44</td>
</tr>
</tbody>
</table>
Walmart – Determining if Items are in Compliance

- Access Retail Link.
- Click “Apps” or “Site Map” >> D >> Decision Support-New.
- On the left, select “Templates” >> Sales and Margin.
- Select “Company Summary.” This will open in a new window.

**Columns**
- Vendor Nbr
- Vendor Name
- Item Number
- Item Desc 1
- Item Status
- Brand ID
- Brand Desc
- Factory ID
- POS Sales

**Items**
- Filters
  - Vendor Nbr (6 Digit)
  - (is one of)

**Times**
- By Fuzzy Dates
  - Time Range
    - 1 Last 52 Weeks

RS - Supplier Reference Guide, August 2016
Requesting Brand ID Creation

- **Sam’s Club Suppliers** - Brand ID numbers are not available at this time but the correct brand will need to be entered in the Brand Description field of Item Link. Please work with the merchant to ensure Brand Descriptions are entered consistently.

- **Walmart Suppliers** – If supplying a brand that does not exist in Walmart’s system today, it will need to have a Brand ID created. Please complete the Brand Request Form (available through your order specialist) and submit to the email address indicated on the form. Allow 48 hours processing time.

- **All Suppliers** – All items listed with a Private Brand or a Brand not on the Approved Brand list will require a factory ID be attached to it.
Walmart - Factory Item Attachment

• Click **Apps** from the Retail Link home screen.
Walmart - Factory Item Attachment

- In the *Filter these results* field, enter **Online Item File**.
Click on the Maintain Country of Origin/Factory ID

- Enter existing item numbers
- Click Next
Select link under Factory ID Items.

Select Attach to select Factory ID for your Items.
Walmart - Factory Item Attachment

Enter the Factory name

- Select factory.
- Multiple factories can be selected
- Select Save to complete
- You are done
# Table of Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Page(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>What is Responsible Sourcing?</td>
<td>Page 3</td>
</tr>
<tr>
<td>Vision and Mission</td>
<td>Page 4</td>
</tr>
<tr>
<td>Audit Process</td>
<td>Page 5</td>
</tr>
<tr>
<td>How to Attach a New or Existing Factory to your profile or Disassociate from a Factory</td>
<td>Pages 6-24</td>
</tr>
<tr>
<td>How to Attach a Factory to an Item</td>
<td></td>
</tr>
<tr>
<td>Walmart</td>
<td>Pages 25-34</td>
</tr>
<tr>
<td>Sam’s</td>
<td>Pages 33-38</td>
</tr>
<tr>
<td>Definitions &amp; FAQs</td>
<td>Pages 39-44</td>
</tr>
</tbody>
</table>
Sam’s Club – Determining if Items are in Compliance

- Access Retail Link.
- Click “Apps” or “Site Map” >> D >> Decision Support-New.
- To the left, select the drop down box for “Divisions.” Choose “Sam’s Club”.
- Sales and Margin >> Club Detail Reporting. This will open in a new window.

<table>
<thead>
<tr>
<th>Columns</th>
<th>Items</th>
<th>Times</th>
<th>Options</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vendor Nbr</td>
<td>Filters</td>
<td>By Fuzzy Dates</td>
<td>Club Level</td>
</tr>
<tr>
<td>Vendor Name</td>
<td>Vendor Nbr (6 Digit)</td>
<td>Time Range 1 Last 52 Weeks</td>
<td>Item Status</td>
</tr>
<tr>
<td>Item Number</td>
<td>(is one of)</td>
<td></td>
<td>Is one of</td>
</tr>
<tr>
<td>Item Desc 1</td>
<td></td>
<td></td>
<td>3 boxes on right-hand side</td>
</tr>
<tr>
<td>Item Status (By Club)</td>
<td></td>
<td>(Hit “Enter” after each)</td>
<td></td>
</tr>
<tr>
<td>Brand Name</td>
<td></td>
<td>Type “A”</td>
<td></td>
</tr>
<tr>
<td>Factory ID</td>
<td></td>
<td>Type “O”</td>
<td></td>
</tr>
<tr>
<td>Total Sell Dollars</td>
<td></td>
<td>Type “S”</td>
<td></td>
</tr>
</tbody>
</table>

RS - Supplier Reference Guide, August 2016
Sam’s Club Factory - Item Attachment

• Click Apps from the Retail Link home screen.

• In the Filter these results and enter Sam’s Item Link.
Sam’s Club Factory - Item Attachment

Click Item Maintenance

Retail Link
Item Inquiry
- Item Inquiry
- Item Club Inquiry
- Club Inquiry
- Item Sales Inquiry
- Item Change History

Creation
- Item Creation
- Copy Item
- Links and Fees

Maintenance
- Item Maintenance
- RFID Maintenance
- Scale Management Menu

Enter Item:
190127

- Enter existing item numbers
- Click Next
Sam’s Club - Factory Item Attachment

Select Factory ID link

Select activity box for desired Factory ID(s) for your Item
Click Submit
This will complete the Sam’s Club Factory Item attachment.
Definitions & FAQs
Brand Type Definitions

Walmart Private Brand:
• Products with brand names solely owned and registered by Walmart.

Country-Level Direct Imports:
• Products imported by any of Walmart’s retail operations, including Department 99 supplies.

Walmart Exclusives:
• Products with brand names sold exclusively at Walmart. This includes derivative brands of national brands.

Components & Packaging w/ Walmart ID:
• Products with components that bear the Walmart trademark or registered logos such as shipping boxes, product sleeves, packaging, buttons, visual merchandising, etc.

Licensed:
• Products whose brand rights and ownership are owned by another party other than Walmart. However, in order to utilize and direct some control in merchandising or production, Walmart pays a royalty for usage to the brand owner.

GNFR:
• Goods not for resale, including, but not limited to: logistics, fixtures, stores supplies and signage.
FAQ

• Why do I need to disclose my factories? Walmart and Sam’s Club are committed to driving a responsible supply chain and in order to do so we depend on our supplier partners to disclose the source of the goods being produced.

• Who needs to disclose their factories?
  • All suppliers producing/manufacturing product are required to disclose their facilities.
  • Nominated packaging and component facilities are responsible to disclose their facilities.
  • The only exceptions are for items with brands on the Approved Brand List. The Approved Brand list is located at Retail Link > Docs > R > Responsible Sourcing.

• What does “disclosure” mean? Disclosure means Wal-Mart Stores, Inc. has visibility to the factory address via Retail Link. In order to be compliant with Wal-Mart standards, suppliers are required to keep their factory matrix up-to-date with accurate factory address(es), contact(s), and audits (if necessary).

• What is the process from disclosure through assessment? After disclosure and the factory is attached to the supplier’s profile:
  • Once the form is submitted, the Wal-Mart team will verify the data and determine if the factory exists. If it already exists, the Factory ID will be attached to the Supplier’s Profile. If it is a new factory, a Factory ID will be assigned, and then attached to the Supplier’s Profile.
  • The conducting of audit(s) will be determined based on risk. In the case of a social audit, an independent third party auditing firm will contact the supplier to begin the audit process.
  • After the pre-questionnaire is completed and the invoice paid, the audit firm and supplier will schedule the initial audit. Social audits can take 1-2 days and the factory MUST allow the auditing firm to enter or they will be assessed with a Red-Access Denied.
  • After the audit, the auditing firm will leave their findings with the factory and submit the findings to the Wal-Mart assessment team. After which, the Wal-Mart team will assess the findings and provide the supplier a color rating.

• Where can I find my Supplier ID? Your Supplier ID can be found on Retail Link under your Supplier Profile. It will be at the top left hand side of the profile page and is an 8 or 9-digit numeric ID.

• Where can I find my factory matrix? Your Factory List can be found under your Supplier Profile near the bottom of the screen labeled “Factory Overview”. From here you can add, deactivate, inactivate, reactivate, or edit your factory list.
FAQ

- **I have lost Retail Link access, what do I do?** Please contact the Retail Link Hotline for assistance at 479.273.8888. You will need your Retail Link ID and Pin. If you have any questions, please feel free to reach out to your Responsible Sourcing contact for assistance.

- **It’s not letting me upload my business license/ tax ID.** Most likely you are on a newer version of Internet Explorer. Please follow the steps to make Retail Link compatible to your browser:
  With having your Internet Explorer open:
  - Click on Tools
  - Click on Compatibility View Settings
  - Enter the web address for Retail Link (https://retaillink.wal-mart.com) in the box
  - Click on Add option
  - Click on Close option

  If you are still having difficulties, please call the Retail Link Help Desk: 479.273.8888

- **Where can I find resources on Wal-Mart Stores, Inc. supplier/ factory expectations?** Resources can be located on Retail Link > Docs > R > Responsible Sourcing. Here you will find the Standards for Suppliers, Approved Brand List, and other supplier resources.

- **I’m a National Brand, why do I have to disclose?** Only if you are the Importer of Record (IOR) AND the Brand is on the Approved Brand List will you not need to disclose your facilities. All other suppliers/ brands are required to disclose.

- **Who/ what is the Importer of Record (IOR)?** If you (the supplier) are responsible for customs clearance, your company is the Importer of Record (i.e. USA Supplier). If Wal-Mart Stores, Inc. is responsible for customs clearance, Wal-Mart will be in the Importer of Record. If you are unsure, please contact your buyer/ sourcing manager for verification.

- **I have multiple Supplier/ Vendor IDs. Do I need to disclose my factories in each profile?** Yes, please disclose all factories that will be producing items under the corresponding Supplier ID.
FAQ

• I am not able to find the category number that belongs to the Sam’s Club area that this factory will be used for? For Sam’s Club department selection:
  • Puerto Rico, select department 61 or 62
  • United States select department 63 or 64

• Am I able to have a factory that is both Primary as well as Component? If this is the main production facility, select Primary. If the factory makes a component of the product, select Component. If the factory is going to be used for both primary and component production, you can select both options.

• The major products that I supply are not listed in the dropdown selection. How do I determine what category my products would belong in? If you don’t see your specific product area listed, please select one that is the closest to your category (i.e. toilet paper would be under Consumables).

• Does the number of employees, production area square footage, and the Warehouse area need to be exact or will a close estimate work in these fields? A close estimate will be sufficient for the factory creation. However, if you don’t have an estimate, please put 9999 into the field. If an audit is determined to be needed, the information will need to be as accurate as possible for the audit firm when they request the information in the pre-questionnaire.

• If I am working with more than one buyer, can I enter in multiple buyers in the Merchandise/buyer field? Yes, please put the primary buyer in first.

• If I am going to be supplying multiple brands to Walmart out of the factory I am disclosing, can I enter in multiple brands? Does it matter in what order I enter these into the field? Do I enter in a Brand ID or just the Brand Name? You can enter in multiple brands if you will be supplying multiple brands or products out of this factory. If you have the Brand ID, you can include that information as well. If you enter in multiple brands, please enter in the primary brand first.

• When creating a new factory there is a request for a Business License to be uploaded. Is this the Business License for my company or for the factory? What if I don’t have a Business License? The Business License would be the license of the factory that you have disclosed in the system. If you do not have a Business License, a valid and current Tax ID certificate is accepted. NOTE: In some countries this may also be referred to as a Registration Document.
FAQ

• How long will it take to get the factory created? Will I be notified when the factory is created and has been assigned a factory ID? The factory ID request can take up to 5 business days to complete. If there is a critical business need, we can help expedite the process if we are notified.

• When can I begin production in the factory? The factory must be Active and have met all of prequalification prior to production being started. After the factory is created and an ID assigned, but before the factory is activated, the factory may be required to undergo one or several audits, including Supply Chain Security, Food Safety, and Factory Capability and Capacity audits. The prequalification requirements will vary depending on:
  • The factory’s primary production type (packaging, fresh produce packaging, etc.),
  • National or International Brands status
  • Importer of Record (Direct Import, Domestic Import, etc.).

Key Contacts:
Retail Link Help Desk: 479.273.8888

FCCA: gsrlhelp@walmart.com

Supply Chain Security:
  China and North Asia: wgsscs1@wal-mart.com
  Americas: wgsscs2@wal-mart.com
  India, SE Asia, Australia: wgsscs3@wal-mart.com
  Europe, Middle East, Africa, Canada: wgsscs4@wal-mart.com