

Assessment of suppliers in the AFK Group

BAHR has been mandated to assist the AFK Group with the development of a standard supplier code of conduct and standard supplier assessment forms that can be used by all companies in the AFK Group when establishing and/or revising policies and procedures for the onboarding and due diligence of suppliers.¹ This document consists of the following standard documentation:

- Supplier approval form (for internal purposes) on page 2 et seqq.
- Supplier self-assessment form on page 5 et seqq.
- Supplier due diligence questionnaire on page 9 et seqq.
- Supplier code of conduct on page 15 et seqq.
- Supplier declaration on page 20.

Please note that the standard documentation is focused on typical compliance topics related to ethical business conduct and ESG that all companies are expected to cover in their internal policies and procedures. Each company should however assess the standard documentation in light of its own business operations, compliance risks, supplier structure and internal policies and include additional topics as required. This may also include aspects of purely practical nature or information required according to internal policies and procedures.

Suppliers should be subject to risk-based due diligence meaning that the higher the operational and/or compliance risk of a business relation, the more detailed the assessment by the company. This risk-based approach is reflected in the supplier approval form (page 2 et seqq.) which provides high-level guidance on when an internal assessment may be sufficient, when the shorter “supplier self-assessment form” may be adequate and when to go into more detail with the “supplier due diligence questionnaire”. Each Company should adapt this to its own operations and provide clear guidance to its employees.

¹ Providers of services and goods to employees that are compensated by their employer, such as expenses for business related overtime meals, transport etc., are as a general rule not considered to constitute suppliers in this context.

Internal approval of new suppliers

Supplier approval form	
Internal [Key Account Manager] for supplier	
Description of business to be conducted with supplier	<p>Goods and/or services to be provided by supplier:</p> <hr/> <p> <input type="checkbox"/> One-off purchase of goods/services in question <input type="checkbox"/> Regular purchases of goods/services in question <input type="checkbox"/> Main supplier for goods/services in question </p> <p>Estimated yearly value:</p>
<p>Level of supplier risk</p> <p><i>To be assessed amongst other in light of</i></p> <ul style="list-style-type: none"> - <i>Nature of business relationship with supplier</i> - <i>Business activity of supplier</i> - <i>Sector</i> - <i>Location(s)</i> - <i>Inherent compliance risks (e.g. score on Transparency International's Corruption Index, tax havens, conflict regions, etc.)</i> 	<p> <input type="checkbox"/> Normal <input type="checkbox"/> Increased <input type="checkbox"/> High </p> <p>Comments:</p>
Site visit	<p> <input type="checkbox"/> No <input type="checkbox"/> To be conducted on by [name/function] on [date] in [address] <input type="checkbox"/> Conducted by [name/function] on [date] in [address] </p> <p>Comments:</p>
References	<p> <input type="checkbox"/> No <input type="checkbox"/> Yes </p> <p>Comments:</p>
Non-disclosure agreements	<p> <input type="checkbox"/> Signed <input type="checkbox"/> To be signed <input type="checkbox"/> Not required </p> <p>Comments:</p>

<p>Supplier Code of Conduct signed and returned?</p>	<p><input type="checkbox"/> Yes, signed on [date] <input type="checkbox"/> Outstanding <input type="checkbox"/> Not applicable*</p> <p><i>* Under extraordinary circumstances, it may be decided that suppliers are not requested to sign the Supplier Code of Conduct. This may for example be the case for the one-off purchase of goods/services of low value in absence of a heightened/high compliance risk.</i></p>
<p>Supplier self-assessment form filled in and returned?</p>	<p><input type="checkbox"/> Yes, signed on [date] <input type="checkbox"/> Outstanding <input type="checkbox"/> Not applicable*</p> <p><i>* In case of one-time purchases of goods/services of low value in absence of a heightened/high compliance risk, suppliers are not required to fill in the supplier self-assessment form. The registration of necessary information and a high-level assessment will be performed internally. In case of increased/high supplier risk, please use the more detailed Supplier due diligence questionnaire.</i></p>
<p>Supplier due diligence questionnaire filled in and returned?</p>	<p><input type="checkbox"/> Yes, signed on [date] <input type="checkbox"/> Outstanding <input type="checkbox"/> Not applicable*</p> <p><i>* Applicable only in case of heightened/high supplier risk.</i></p>
<p>Assessment of governance organisation as described by supplier</p>	<p><input type="checkbox"/> Governance and compliance programme in place / appropriate in light of the supplier's business operations</p> <p><input type="checkbox"/> Governance and compliance programme in place / material weaknesses identified in light of the supplier's business operations</p> <p><input type="checkbox"/> No compliance programme in place</p> <p><input type="checkbox"/> No assessment of supplier's governance and compliance programme performed</p> <p>Comments:</p> <p>Follow-up / mitigating measures (if any):</p>
<p>Sanctions/adverse media screening performed?</p> <p><i>Ensure to document search results, including negative results (i.e. "no hit" results).</i></p>	<p><input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p>Comments:</p>
<p>Are you aware of any circumstances that indicate a</p>	<p><input type="checkbox"/> No <input type="checkbox"/> Yes</p>

<p>possible conflict of interest of any of our members of the board, management and/or employees has a conflict of interest with the supplier including its owners, board members and/ or management?</p>	<p>Comments:</p>
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<p>Date of completion of this supplier approval form:</p>	
<p>Prepared by</p>	<p>Approved by</p>
<p><i>Place / date</i></p> <p><i>Name / function</i></p> <p><i>Signature</i></p>	<p><i>Place / date</i></p> <p><i>Name / function</i></p> <p><i>Signature</i></p>

Supplier self-assessment form

In all its business activities, [Company name] strives to act in an ethical and respectful manner towards our stakeholders, the people involved, the environment and the society as a whole. [Company name] conducts its business operations in accordance with at all times applicable laws and regulations and expects the same from its business partners.

The information included in this questionnaire will form part of [Company name]'s due diligence files and allow [Company name] to adequately assess and address potential compliance risks in its business activities. The information and any personal data collected, stored and processed in this context will be treated in accordance with applicable laws and regulations.

Please complete the questionnaire truthfully, sign the signature page below and return the signed document by email to: [●].

Do not hesitate to contact [●] if you have any questions or require assistance with the completion of this questionnaire.

1. Company details	
Company name	
Postal address	
Telephone	
E-mail	
Website	
Registration no., date and country of registration	
No. of employees	
Annual turnover (last three years)	
Group structure	<input type="checkbox"/> The Company is not part of a group and does not have any subsidiaries or branches. <input type="checkbox"/> The Company is part of a group: <i>Please provide information on the group structure, including the parent company and any affiliates and branches (e.g. link to website, chart, list or similar).</i>

Ownership structure	<input type="checkbox"/> The Company is listed on the following securities exchange(s) or market(s): <hr style="width: 50%; margin-left: 0;"/> <input type="checkbox"/> The Company is not listed on a securities exchange or market. <i>Please provide information on the ownership structure including information on the ultimate beneficial owner(s).</i>
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2. Contact persons		
<i>Position</i>	<i>Name</i>	<i>E-mail</i>
Main contact person		
Managing director		
Financial director		
Compliance responsible		
Members of the board of directors		

3. Line of business	
Products and/or services to be provided by the Company	

4. Commerce	
Bank name and country	
Forwarding agent	
Terms of payment	
Terms of delivery	

5. Governance	
Which of the following topics are covered by the Company's ethical guidelines, policies and/or procedures (if any)?	<input type="checkbox"/> None <input type="checkbox"/> Human rights <input type="checkbox"/> Discrimination <input type="checkbox"/> Labour rights <input type="checkbox"/> Health & safety <input type="checkbox"/> Anti-bribery & corruption <input type="checkbox"/> Gifts & hospitality <input type="checkbox"/> Trade sanctions & export control <input type="checkbox"/> Money laundering <input type="checkbox"/> Data protection <input type="checkbox"/> Environment, resources & waste <input type="checkbox"/> IT security <input type="checkbox"/> Whistleblowing <input type="checkbox"/> Other:
Does the Company regularly train its employees in relation to ethical business conduct?	<input type="checkbox"/> No <input type="checkbox"/> Yes Training is provided on the following topics: <input type="checkbox"/> Human rights <input type="checkbox"/> Discrimination <input type="checkbox"/> Labour rights <input type="checkbox"/> Health & safety <input type="checkbox"/> Anti-bribery & corruption <input type="checkbox"/> Gifts & hospitality <input type="checkbox"/> Trade sanctions & export control <input type="checkbox"/> Money laundering <input type="checkbox"/> Data protection <input type="checkbox"/> Environment, resources & waste <input type="checkbox"/> IT security <input type="checkbox"/> Whistleblowing <input type="checkbox"/> Other:
Does the Company have internal controls in place to ensure and monitor compliance with applicable laws and regulations as well as internal policies and procedures?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Has the company accepted the [Company name] Supplier Code of Conduct by submitting a signed copy of the document?	<input type="checkbox"/> Yes <input type="checkbox"/> No
6. Management systems & certifications	
Does the Company have a documented Quality Management System ?	<input type="checkbox"/> Yes, certified <input type="checkbox"/> Yes, uncertified <input type="checkbox"/> No

	<p>If yes, please specify:</p> <p><input type="checkbox"/> ISO9001 <input type="checkbox"/> ISO/TS16949 <input type="checkbox"/> VDA 6.4 <input type="checkbox"/> Other: _____</p>
<p>Does the Company have a documented Environmental Management System?</p>	<p><input type="checkbox"/> Yes, certified <input type="checkbox"/> Yes, uncertified <input type="checkbox"/> No</p> <p>If yes, please specify:</p> <p><input type="checkbox"/> ISO14001 <input type="checkbox"/> Other: _____</p>
<p>Does the Company have a documented HSE Management System?</p>	<p><input type="checkbox"/> Yes, certified <input type="checkbox"/> Yes, uncertified <input type="checkbox"/> No</p> <p>If yes, please specify:</p> <p><input type="checkbox"/> ISO45001 <input type="checkbox"/> Other: _____</p>
<p>Does the Company have any other documented Management System?</p>	<p><input type="checkbox"/> Yes, certified <input type="checkbox"/> Yes, uncertified <input type="checkbox"/> No</p> <p>If yes, please specify:</p>

By completing the questionnaire and signing below, I certify that I am authorised by the Company to act on its behalf. I hereby confirm that I have understood and answered every question truthfully.

This questionnaire was completed on _____ in _____.

For and on behalf of
[Click here to write text](#)

For and on behalf of
[Click here to write text](#)

Supplier due diligence questionnaire

In all its business activities, [Company name] strives to act in an ethical and respectful manner towards our stakeholders, the people involved, the environment and the society as a whole. [Company name] conducts its business operations in accordance with at all times applicable laws and regulations and expects the same from its business partners.

The information included in this questionnaire will form part of [Company name]'s due diligence files and allow [Company name] to adequately assess and address potential compliance risks in its business activities. The information and any personal data collected, stored and processed in this context will be treated in accordance with applicable laws and regulations.

Please complete the questionnaire truthfully, sign the signature page below and return the signed document by email to: [●].

Do not hesitate to contact [●] if you have any questions or require assistance with the completion of this questionnaire.

1. Company details	
Company name	
Postal address	
Telephone	
E-mail	
Website	
Registration no., date and country of registration	
No. of employees	
Annual turnover (last three years)	
Group structure	<input type="checkbox"/> The Company is not part of a group and does not have any subsidiaries or branches. <input type="checkbox"/> The Company is part of a group: <i>Please provide information on the group structure, including the parent company and any affiliates and branches (e.g. link to website, chart, list or similar).</i>

Ownership structure	<input type="checkbox"/> The Company is listed on the following securities exchange(s) or market(s): _____
	<input type="checkbox"/> The Company is not listed on a securities exchange or market. <i>Please provide information on the ownership structure including information on the ultimate beneficial owner(s).</i>

2. Contact persons		
Position	Name, date of birth and citizenship	E-mail
Main contact person		
Managing director		
Financial director		
Compliance responsible		
Quality responsible		
HSE responsible		
Members of the board of directors		

3. Line of business	
Products and/or services to be provided by the Company	

4. Commerce	
Bank name and country	
Forwarding agent	
Terms of payment	
Terms of delivery	

5. Governance	
<p>Which of the following topics are covered by the Company's ethical guidelines, policies and/or procedures (if any)?</p>	<p> <input type="checkbox"/> None <input type="checkbox"/> Human rights <input type="checkbox"/> Discrimination <input type="checkbox"/> Labour rights <input type="checkbox"/> Health & safety <input type="checkbox"/> Anti-bribery & corruption <input type="checkbox"/> Gifts & hospitality <input type="checkbox"/> Trade sanctions & export control <input type="checkbox"/> Money laundering <input type="checkbox"/> Data protection <input type="checkbox"/> Environment, resources & waste <input type="checkbox"/> IT security <input type="checkbox"/> Whistleblowing <input type="checkbox"/> Other: </p>
<p>Does the Company regularly train its employees in relation to ethical business conduct?</p>	<p> <input type="checkbox"/> No <input type="checkbox"/> Yes </p> <p>Training is provided on the following topics:</p> <p> <input type="checkbox"/> Human rights <input type="checkbox"/> Discrimination <input type="checkbox"/> Labour rights <input type="checkbox"/> Health & safety <input type="checkbox"/> Anti-bribery & corruption <input type="checkbox"/> Gifts & hospitality <input type="checkbox"/> Trade sanctions & export control <input type="checkbox"/> Money laundering <input type="checkbox"/> Data protection <input type="checkbox"/> Environment, resources & waste <input type="checkbox"/> IT security <input type="checkbox"/> Whistleblowing <input type="checkbox"/> Other: </p>
<p>Does the Company have policies or procedures in place for the selection and onboarding of as well as cooperation with its business partners, such as clients, suppliers, consultants and agents?</p> <p><i>Examples: Due diligence requirements for clients, suppliers and third party representatives, procurement policy</i></p>	<p> <input type="checkbox"/> No <input type="checkbox"/> Yes </p> <p>If yes, please specify:</p>
<p>Does the Company have internal controls in place to ensure and monitor compliance with applicable laws and regulations as well as internal policies and procedures?</p>	<p> <input type="checkbox"/> Yes <input type="checkbox"/> No </p>
<p>Has the Company accepted the [Company name] Supplier Code of Conduct by submitting a signed copy of the document?</p>	<p> <input type="checkbox"/> Yes <input type="checkbox"/> No </p>

6. Management systems & certifications	
Does the Company have a documented Quality Management System ?	<input type="checkbox"/> Yes, certified <input type="checkbox"/> Yes, uncertified <input type="checkbox"/> No If yes, please specify and provide appropriate documentation: <input type="checkbox"/> ISO9001 <input type="checkbox"/> ISO/TS16949 <input type="checkbox"/> VDA 6.4 <input type="checkbox"/> Other: _____
Does the Company have a documented Environmental Management System ?	<input type="checkbox"/> Yes, certified <input type="checkbox"/> Yes, uncertified <input type="checkbox"/> No If yes, please specify and provide appropriate documentation: <input type="checkbox"/> ISO14001 <input type="checkbox"/> Other: _____
Does the Company have a documented HSE Management System ?	<input type="checkbox"/> Yes, certified <input type="checkbox"/> Yes, uncertified <input type="checkbox"/> No If yes, please specify and provide appropriate documentation: <input type="checkbox"/> ISO45001 <input type="checkbox"/> Other: _____
Does the Company have any other documented Management System?	<input type="checkbox"/> Yes, certified <input type="checkbox"/> Yes, uncertified <input type="checkbox"/> No If yes, please specify and provide appropriate documentation:

7. Miscellaneous	
Is the Company owned or controlled, either directly or indirectly, by a person subject to US, UN, EU, Norwegian or other trade sanctions regimes? <i>[Comment: This may need to be adjusted with view to the Company in question, e.g. to explicitly include German regimes for an AFK affiliate in Germany.]</i>	<input type="checkbox"/> No <input type="checkbox"/> Yes If yes, please specify:

<p>Are any of the Company's directors, officers, representatives and/or employees subject to US, UN, EU or Norwegian or other trade sanctions regimes?</p> <p><i>[Comment: This may need to be adjusted with view to the Company in question, e.g. to explicitly include German regimes for an AFK affiliate in Germany.]</i></p>	<p><input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p>If yes, please specify:</p>
<p>Is the Company or any of its owners or affiliates located or conducting business activities in a country or region targeted by UN, EU, US and/or Norwegian trade sanctions regimes? This includes, for example, Russia, Cuba, Iran, Libya, Syria and Sudan.</p> <p><i>[Comment: This may need to be adjusted with view to the Company in question, e.g. to explicitly include German regimes for an AFK affiliate in Germany.]</i></p>	<p><input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p>If yes, please specify:</p>
<p>Are any of the Company's directors, officers, representatives and/or employees politically exposed persons (PEPs)?</p>	<p><input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p>If yes, please specify:</p>
<p>Has the Company, its affiliates or any of its directors, officers, employees or other representatives, at any time during the last 5 years, been accused of, prosecuted or convicted for and/or been subject to other enforcement actions in relation to violations of any applicable laws and regulations on:</p> <ul style="list-style-type: none"> - Human or labour rights; - Health and safety rules; - Bribery and corruption (public and private sector); - Fraud; - Money laundering; - Trade sanctions or export control regimes; - Environmental damage, resource control and waste management; - Data protection and information security; - or other serious violations of applicable laws and regulations? 	<p><input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p>If yes, please specify:</p>
<p>Has the Company (directly or indirectly), at any time during the last 5 years, been involved in any complaint, claim or litigation related to violations of applicable laws and regulations as listed in the previous question?</p>	<p><input type="checkbox"/> No <input type="checkbox"/> Yes</p> <p>If yes, please specify:</p>
<p>Are all of the Company's products RoHS compliant? (Directive (EU) 2017/2102)</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Are all of the Company's products free of conflict materials according to the Conflict-Free Sourcing Initiative (CFSI)?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>

Can the Company provide CFSI CMRT (Conflict Mineral Reporting Templates) declarations upon request?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Does the Company have a system to manage materials, certifications and traceability?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Can the Company provide Country of Origin declarations?	<input type="checkbox"/> Yes <input type="checkbox"/> No
What is the number of LTI (Lost Time Incident) per Million Working Hours (F-value)?	

By completing the questionnaire and signing below, I certify that I am authorised by the Company to act on its behalf. I hereby confirm that I have understood and answered every question truthfully.

This questionnaire was completed on _____ in _____.

For and on behalf of

[Click here to write text](#)

For and on behalf of

[Click here to write text](#)

SUPPLIER CODE OF CONDUCT

1. INTRODUCTION

This [update of the] Supplier Code of Conduct (SCoC) was resolved by the Board of Directors of [Company name] (the parent company of the [Group name]) on [date].

The Code is based on the ten Principles of the United Nations Global Compact concerning human rights, labour rights, environmental responsibility and anti-corruption².

The SCoC applies to all business partners supplying material, labour or services (hereinafter referred to as “**Business Partners**”) to [Company name]. [Company name] does not want to be associated with partners lacking appropriate ethical standards. In order to do business with [Company name], Business Partners must therefore commit to adhering to the ethical standards set out herein.

The Business Partner acknowledges that it is liable to [Company name] for any damage suffered as a result of failure to comply with the obligations set out herein, and that [Company name] may immediately terminate the business relationship in case of violations of this SCoC.

The Business Partner undertakes to implement procedures to ensure compliance with applicable laws and regulations as well as its obligations under this SCoC.

2. PURPOSE

This SCoC contributes to set the framework for the behaviour [Company name] expects of all our stakeholders in our worldwide chain of supply. [It is based on the [Company name] values - [Company values].]

The SCoC shall contribute to ensure that our Business Partners adhere to high ethical standards and integrity. Integrity in this context means “the quality of being honest and just in character”. Integrity is about attitude and behaviour. [Company name] has zero tolerance for illegal or unethical behaviour, and expects all of its Business Partners to commit to the same.

3. GUIDELINES AND FRAMEWORK

3.1 Laws and regulations

[Company name]’s Business Partners shall always act in accordance with applicable laws and regulations. If a Business Partners’ own rules are stricter or more comprehensive than the applicable laws and regulations, and not in conflict with any applicable laws and regulations or this SCoC, the Business Partners’ own rules shall apply.

² <https://www.unglobalcompact.org/what-is-gc/mission/principles> (last visited on 26 October 2020).

4. PEOPLE

4.1 Human rights

[Company name]'s Business Partners shall respect human rights, and always act in line with the rules and principles laid out in the UN Guiding Principles on Business and Human Rights, including the principles and rights set out in the eight fundamental conventions identified in the Declaration of the International Labour Organisation on Fundamental Principles and Rights at Work³ and the International Bill of Human Rights, and the OECD Guidelines for Multinational Enterprises⁴.

4.2 Prohibition of child labour

We do not accept any form of child labour or that children below the lawful minimum age for admission to employment are engaged in our or our Business partners' business. If persons below the age of 18 are involved, we demand special precautions to safeguard their health, security and rights. Persons below the age of 18 shall not perform dangerous or night time labour, and their work shall not inflict damage on their education or development. [Company name] and its Business Partners fully support, and will act in accordance with, the UN Convention on the Rights of the Child⁵.

4.3 Labour rights, health and safety

[Company name] does not accept any involuntary labour, and expects all its Business Partners to comply with all fundamental labour rights and applicable laws and regulations. Business Partners shall ensure fair salaries, safe working conditions (including necessary supervision and protection from fire and other dangers), the right to organize, a good workplace environment, and have in place a whistleblowing procedure for the reporting concerns by employees.

4.4 Hazardous substances and conflict materials

[Company name] and its Business Partners shall comply with applicable laws and regulations regarding the use, prohibition and restriction of hazardous substances and shall avoid the use of conflict materials, i.e. materials that originate from conflict areas and contribute to fund governments and movements which violate fundamental human rights.

4.5 Discrimination and harassment

Any kind of discrimination due to gender, ethnicity, national origin, descent, skin colour, language, religion, sexual orientation, family situation or disability is not accepted in [Company name] or any of its Business Partners. All people shall at any time be treated with respect and dignity.

5. ENVIRONMENT

[[Company name] applies guidelines based on the environmental standards incorporated in the Ten Principles of the UN Global Compact⁶.] [Company name] expects its Business Partners to be committed to environmental sustainability by continuously improving energy efficiency and minimizing discharge, emissions and waste, and to otherwise adhere to applicable laws and regulations to minimize environmental impact and prevent danger to the environment.

³ <https://www.ilo.org/declaration/lang--en/index.htm> (last visited on 26 October 2020).

⁴ <https://www.oecd.org/corporate/mne/> (last visited on 26 October 2020).

⁵ <https://www.ohchr.org/en/professionalinterest/pages/crc.aspx> (last visited on 26 October 2020).

⁶ <https://www.unglobalcompact.org/what-is-gc/mission/principles> (last visited on 26 October 2020).

Business Partners shall have the necessary permits to conduct their business and comply with applicable law and regulations related to all use of products, chemicals and equipment in their business. Business partners are expected to have in place appropriate measures to avoid injury to persons.

5.1 Anti-bribery and corruption

[Company name] does not tolerate bribery or corruption in any form, neither in its own business activities nor of its Business partners. Bribery, corruption and facilitation payments (paying “a small token”, usually for services someone is entitled to receive) are strictly prohibited, whether with public officials or private business partners. Business Partners shall not directly or indirectly offer, give or accept any advantage which may be considered to be improper and shall at all times comply with applicable laws and regulations.

Under certain circumstances, it may be difficult to draw the line between acceptable and common advantages in a business relationship, e.g. a modest business lunch after a conference, and an improper advantage. For its own employees, [Company name] has therefore established guidelines such as:

- All gifts and hospitality, except promotional items of minimal value, given or received by [Company name] employees shall be [registered in the Company’s Gift and Hospitality Register / reported to [management/function]].
- Cash gifts are never allowed. Other gifts may only be given or accepted if they are considered to be of moderate value in a local context, and would usually be subject to pre-approval. [Gifts with a value exceeding [EUR 40] would as a general rule not be considered as being “of moderate value”.]
- Offering or accepting hospitality is only be acceptable where this has a clear business purpose, the host is present and the cost is reasonable.
- Travel and accommodation shall always be paid by the employer, not by a third party.

[Company name] expects its Business Partners to adhere to the principles set out above or to certify that they have adequate procedures in place to combat bribery and corruption.

6. ANTI-MONEY LAUNDERING

Money laundering occurs when funds from illegitimate sources are channelled into legitimate business activities and the financial market. [Company name] opposes all forms of money laundering and expects its Business Partners to comply with all applicable anti-money laundering laws and regulations. This includes having adequate measures in place to allow for the identification and correct handling of potentially illegitimate funds, for example by the establishment of due diligence procedures for new business relationships. This includes adequate diligence on business partners by our Business Partners.

7. TRADE SANCTIONS AND EXPORT CONTROL

Trade sanctions and export control regimes are becoming increasingly complex and are imposed on a variety of sectors, countries and persons. Such laws may impose restrictions on the sale, shipment, electronic transfer, provision, or disclosure of information, software, goods, assets, funds, and services across national borders or involving parties subject to trade sanctions.

[Company name]'s Business Partners are expected to comply with trade sanctions and export control laws and regulations imposed by the UN, US and EU in addition to trade sanctions and export control regimes applicable to the business relationship between [Company name] and the Business Partner.

[Comment: The Company should consider to what extent other sanction regimes should be applied and highlighted here, whether directly applicable to an activity or not. (For example, EU, US and/or Norwegian sanctions.)

Please note that it is not uncommon for companies to have committed to complying with EU and US sanction regimes even where these are not applicable, for example in credit facilities. It is therefore recommended to assess whether the Company has any contractual obligations to comply with specific sanction regimes.]

8. FAIRNESS AND COMPETITION

[Company name]'s Business Partners shall at all times ensure to be trustworthy, honest and fair in all dealings and safeguard that possible conflicts of interest are handled appropriately.

[Company name] has no tolerance for violations of applicable competition laws and regulations in any country and expects fair competition among its Business Partners. This includes inter alia not taking part in or supporting illegal cooperation on pricing, illegal market sharing, abuse of a dominant position or any other activity that constitute breach of applicable competition laws and regulations. Business Partners shall also refrain from sharing sensitive information with third parties and particularly competitors.

9. HANDLING OF INFORMATION

9.1 Data protection, confidentiality and trade secrets

Business Partners are expected to comply with applicable laws and regulations with regard to data protection, confidentiality and trade secrets.

In particular, Business Partners shall not disclose sensitive business information or trade secrets provided to them by [Company name] regarding the company, its products and its operations to third parties, unless [Company name] has given its explicit written consent to the disclosure in question. [Company name] expects that such information is not passed on to any third party even after the business relationship has been terminated.

9.2 Responsible use of social media and other media communications

Social media channels such as Facebook, Instagram and LinkedIn allow for communication, promotion, discussions and information sharing and are increasingly used in business contexts. [Company name] expects its Business Partners to refrain from publishing information, logos or other material belonging to [Company name] without its express written consent. Neither should material that can be associated with [Company name] or its employees be published without the consent of [Company name] and parties involved. This applies, in principle, also to statements to the media.

10. COOPERATION WITH THIRD PARTIES

Business Partners shall, to the extent possible, promote the implementation of the principles set out in this SCoC by its own business relationships such as subcontractors, suppliers and third party representatives.

Furthermore, Business Partners shall ensure that they have adequate procedures for their cooperation with third parties, including, for example, appropriate due diligence before establishing a new business relationship. In any case, Business Parties are expected to ensure that their agreements with their business relations:

- (a) are in writing,
- (b) the services to be performed are specifically described, and
- (c) the compensation is considered proportional to the services received.

11. REPORTING CONCERNS

[Company name] encourages transparency and Business Partners and their employees are expected to report any concerns about potential violations of this SCoC or applicable laws and regulations to [insert name/position] with [Company name] without delay.

The information reported and the identity of the whistle blower will be treated confidentially to the extent possible and permitted by applicable laws and regulations. [Company name] will endeavour to protect whistle blowers against retaliation. [Company name] may, however, disclose information to competent authorities to the extent appropriate.

12. AUDIT RIGHTS

In order to ensure compliance with the SCoC and strengthen ethical conduct throughout its supply chain, [Company name] or any independent audit company mandated by it may, from time to time, perform an inspection/audit of the conduct of its Business Partners with or without prior notice. For this purpose, Business Partner shall immediately upon request share documentation on compliance with the SCoC and applicable laws and regulations and allow access to its premises.

13. TERMINATION RIGHT

[Company name] may decide to immediately terminate the business relationship with its Business Partner in the event of a violation of the SCoC or applicable laws and regulations by the Business Partner.

14. UPDATE OF THE SCOC

This SCoC shall be subject to continuous development and updates based on the at all times applicable laws and regulations, conventions, principles, standards and other relevant framework for ethical business conduct, as well as any areas of compliance and integrity risks identified for [Company name] and its Business Partners.

Business Partners shall collaborate in this work, by suggesting necessary amendments to [insert name/function] with [Company name] and by committing to adhere to the SCoC published by [Company name] on its homepage.

Supplier Declaration

By signing this Declaration, I confirm that I have read and understood the rights and obligations set forth in the Supplier Code of Conduct available at [Company name]'s homepage, and I will endeavour to implement appropriate measures to ensure compliance with the Supplier Code of Conduct in all activities of the Business Partner I am signing for:

For and on behalf of

[Company name]

For and on behalf of

[Company name]

Name:

Capacity:

Date:

Name:

Capacity:

Date: