

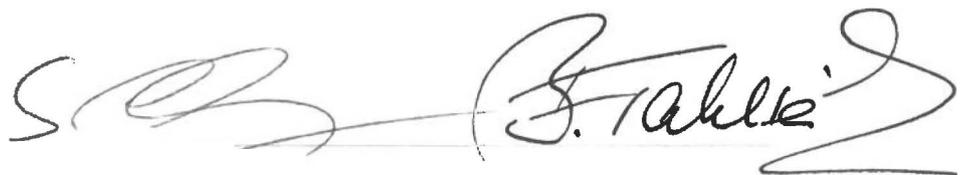
AVISTA OIL Deutschland GmbH

# Sustainability and compliance guidelines for suppliers

approved by: Managing director AOD

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03/15/2021



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Date, signature

## Sustainability and compliance guidelines for suppliers

### 1. Purpose

As part of the internal compliance regulations, the company's sustainability principles and external requirements regarding supply chain transparency, the following document outlines basic aspects of the requirements for suppliers. This document summarises the basic principles and standards that AVISTA OIL applies to its suppliers for quality-relevant and non-quality relevant goods and services, based on globally recognised guidelines and regulations. The supplier requirements outlined here reflect the basic sustainability principles defined by AVISTA OIL derived from the sustainability guidelines, and codify compliance requirements drawn from the internal guidelines and principles of AVISTA OIL. This document is based on internationally applicable standards. These include, for instance, the internationally recognised United Nations Universal Declaration of Human Rights, as well as the labour and social standards of international labour organisations, as well as the principles for ecological and social responsibility set forth in the UN Global Compact. Furthermore, the basic principles reflect conscientious business practices, such as those stipulated in the German Corporate Governance Codex, which also play a key role.

### 2. Validity

The supplier requirements outlined here apply to all suppliers in accordance with the provisions described herein, and obligate suppliers to instruct any subcontractors to comply with the requirements as well. Quality-relevant suppliers are suppliers whose products and services have a direct effect on lubricant products from AOD. Quality-relevant suppliers also receive a self-disclosure sheet to record their sustainability and compliance performance, based on the aspects described here.

### 3. Definitions

AOD	AVISTA OIL Deutschland GmbH
AVISTA OIL	AVISTA OIL AG

### 4. Description

#### 1. Human rights, labour rights, social standards

AOD considers the United Nations Universal Declaration of Human Rights as the fundamental basis of all our corporate activities. The rights described there cannot be ignored or weakened. Furthermore, the core labour standards of the International Labour Organisation (ILO) govern the actions of the company. This means specifically, but is not limited to, the fact that AOD expects that its suppliers:

- respect human rights,
- prohibit any form of child or forced labour (in the expanded sense, also including coerced or compelled labour),

- prohibit any form of modern slavery and exploitative employment relationships,
- prohibit any form of discrimination based on race, skin colour, religion (confession), sex, age, national origin (ethnicity), disability, marital status or sexual orientation,
- treat employees fairly and compensate them fairly in accordance with applicable national laws,
- affirm the rights to freedom of association and collective action,
- respect compliance with requirements for occupational safety and health protection, and
- treat employees, business partners and all other stakeholders with esteem and respect.

Suppliers undertake to comply with the basic principles listed above at the latest by the time they begin performing their services. Upon request, the supplier must demonstrate to AOD through qualitative means how they are complying with the above requirements.

AOD recommends that its quality-relevant suppliers introduce and implement a certified occupational protection management system in accordance with OHSAS 18001 or ISO 45001, or an accredited occupational protection management system derived from / comparable to these, and provide verification of this to AOD on request by submitting a relevant certificate. AOD and the supplier may agree to deviations from the above requirements in writing. AOD reserves the right to check compliance on site.

## 2. Environmental and climate concerns

Environmental and climate concerns are highly important to AOD. Because of this, we expect that our suppliers:

- avoid waste whenever possible, and minimise or re-process waste where it cannot be avoided,
- conserve natural resources, in particular scarce resources and minimise their use,
- keep their energy consumption as low as possible through internal processes, products and services and use sustainable alternatives whenever possible from an economic and technical standpoint,
- minimise emissions, or continuously monitor emissions wherever they cannot be minimised due to economic and technical requirements, investing in relevant projects if necessary to compensate for emissions,
- keep their impacts on the groundwater and waterways as low as possible, so that aquatic living environments do not experience any significant negative impacts due to internal processes, products and services,
- handle chemicals responsibly and with the necessary safety precautions, and comply with any chemical law compliance regulations related to labelling and registration,
- forego the use of conflict minerals, and
- focus on sustainable purchasing to continuously increase the percentage of recycled materials in their products and processes.

Suppliers undertake to comply with the basic principles listed above at the latest by the time they begin performing their services. Upon request, the supplier must demonstrate to AOD through qualitative means how they are complying with the above requirements. Furthermore, it may be necessary for the supplier to submit a quantitative assessment of requirements with verification on request, for instance stating their total energy usage (in MWh), CO2 emissions in scope 1, total water consumption, waste production, and recycling methods, as well as other data relevant for environmental and climate-related purposes.

AOD recommends that its quality-relevant suppliers introduce and implement a certified environmental management system in accordance with ISO 14001 and an energy management system in accordance with ISO 50001, or accredited management systems derived from / comparable to these, and provide verification of this to AOD on request by submitting a relevant certificate. AOD and the supplier may agree to deviations from the above requirements in writing. AOD reserves the right to check compliance on site.

### 3. Quality assurance

As a production company and environmental services provider, AOD always strives to deliver outstanding quality. This includes ensuring that we can rely on the quality of products and services provided by our suppliers. Because of this, we expect that our suppliers:

- establish suitable quality assurance measures that demonstrate the reliability of their products and services in an appropriate manner,
- establish suitable processes to provide preventative protection against errors and defects,
- introduce suitable measures so that no fraudulent or defective products / parts or fraudulent services go into circulation.

Suppliers undertake to comply with the basic principles listed above at the latest by the time they begin performing their services. Upon request, the supplier must demonstrate to AOD through qualitative means how they are complying with the above requirements.

AOD recommends that its quality-relevant suppliers introduce and implement a certified quality management system in accordance with ISO 9001, or management systems derived from / comparable to this, and provide verification of this to AOD on request by submitting a relevant certificate. AOD and the supplier may agree to deviations from the above requirements in writing. AOD reserves the right to check compliance on site.

### 4. Integrity and Corporate Governance

Integrity is the point at which one's own actions overlap with the responsible ethical principles one represents. AOD describes integrity and lawful conduct in its Code of Conduct. AOD expects that its suppliers uphold the same ethical and legal principles that it applies to itself. Because of this, we expect that our suppliers:

- do not take part in practices generally defined as fraud or corruption,
- do not receive or grant any illegal favours,

- do not take part in any criminal activities,
- do not carry out, take part in or tolerate money laundering,
- comply with applicable antitrust regulations,
- comply with applicable tax laws,
- comply with applicable data protection regulations,
- choose their employees and business partners carefully
- observe current, valid and relevant sanction and embargo regulations, and
- comply with the prohibition against supporting armed groups in conflict regions.

Suppliers undertake to comply with the basic principles listed above at the latest by the time they begin performing their services. Upon request, the supplier must demonstrate to AOD through qualitative means how they are complying with the above requirements.

AOD recommends that its quality-relevant suppliers introduce and implement a compliance management system in accordance with ISO 19600 or IDW PS 980, or a management system that is comparable to / derived from this, and provide verification of this to AOD on request by submitting a relevant certificate. AOD and the supplier may agree to deviations from the above requirements in writing. AOD reserves the right to check compliance on site.