

## **Altadia Group**

### **SUPPLIER SELF-ASSESSMENT**

#### **VALUES AND COMMITMENTS AT Altadia GROUP**

**Altadia GROUP** subscribe to the highest standards of ethics and fair play in all our business practices. Our Code of Conduct and Ethics provides guidance for dealing with customers, suppliers, employees, and other stakeholders with integrity and in an ethical and appropriate manner. The policies in our Code of Conduct and Ethics are based on government laws and regulations and human rights and define the rules which we must comply with to conduct business.

We are therefore committed to providing a workplace that is safe, non-discriminatory and free from harassment, preserving the environment and strengthening the communities where we operate.

The Supplier Social Compliance Standards (SCS) reflects **Altadia GROUP** values. These standards are based on our policies, practices and our Code of Conduct and Ethics. We would like to share these values and standards so that they can be reflected in our relationships and actions in our workplaces and the workplaces of those who are authorized to directly supply our business.

We recognize that there are differences in laws, customs and economic conditions that affect business practices around the world. However, we believe that a mutual understanding and commitment to the SCS will strengthen our relationship. The SCS communicates our values and expectations and emphasizes the importance of responsible workplace policies and practices that generally comply, at least, with applicable occupational safety and health, environmental and labour laws and regulations. The standards outlined below reflect the values we uphold in our own policies, and we expect our suppliers to follow these standards and requirements.

#### **1. NON-DISCRIMINATORY EMPLOYMENT PRACTICES**

Commitment to equal employment opportunity and fair employment practices without discrimination against race, ethnic group, gender, religion, sexual orientation, disability, marital status and age.

The commitment shall apply to all aspects of employment, including recruitment, placement, training, compensation, and advancement of employees.

#### **2. WORK HOURS, WAGES AND BENEFITS**

Compliance with the applicable labour laws and regulations on, but not limited to, benefits, working hours, wage payment, disciplinary procedures.

#### **3. PROHIBITION OF HARASSMENT**

No sexual harassment, intimidation or libel whether committed by or against a supervisor, co-worker, customer, supplier or visitor.

#### **4. CHILD LABOUR**

Compliance with all the applicable child labour laws including those related to hiring, wages, work hours, overtime and working conditions. If children are found to be working directly for the supplier, the latter shall seek a sensitive and satisfactory solution that puts the best interests of the child first.

#### **5. FORCED LABOUR**

Prohibition of all forms of forced labour including labour acquired through human trafficking, indentured labour, forced prison labour or slave labour. Only applicants who seek employment on a voluntary basis shall be hired.

#### **6. FREEDOM OF ASSOCIATION**

Respect for employees' rights to join or form trade unions of their own choosing and bargain collectively as provided in the law.

#### **7. SAFETY AND HEALTH AT THE WORKPLACE**

Endeavour to provide a secure, safe and healthy workplace. Maintenance of a productive workplace by complying with all applicable occupational safety and health laws, rules and regulations as well as by mitigating the risk of accidents, injury, and exposure to health risks.

#### **8. PROTECTION OF THE ENVIRONMENT**

Compliance with environmental laws and regulations. Performance of operations in a manner that minimizes adverse environmental impact.

#### **9. BUSINESS INTEGRITY**

Provision of a workplace free of bribery and corruption with all applicable laws relating to bribery, money laundering and/or corruption as well as prohibition of the exchange of money or anything else of value to or from anyone, including government officials, to influence actions or obtain an improper advantage.

All transactions must be transparent and consistent with arm's length business basis and applicable law and not influenced by friendship or association.

#### **10. COMPLIANCE WITH APPLICABLE LAWS AND STANDARDS**

Suppliers to the Altadia group are required to generally comply with all applicable local and national laws, rules, regulations and requirements in their operations and in the provision of services.

#### **11. DEMONSTRATION OF COMPLIANCE**

In order to minimally comply with the SCS, a facility/company must demonstrate the absence of non-compliance in each of the following: Non-Discrimination; Non-harassment; Abuse of Labour; Child Labour; Forced Labour; Freedom of Association; Working Conditions that present imminent threat or serious injury to employees; Impact on the environment and Corporate governance. It will be the responsibility of

the supplier to ensure that all non-compliances against the SCS are addressed as part of the supplier's accountability and improvement. Altadia group will consider this factor in selecting providers in the future. We, therefore, expect our suppliers to develop and implement appropriate internal business processes to ensure compliance with the SCS.

In the event the supplier fails to fully comply with the SCS, Altadia group reserves the right to issue corrective action and/or remedies including but not limited to possible temporary or permanent ban of the supply of goods/services to Altadia group.

As part of our Integrated Management System, we are undertaking a self-assessment of our Suppliers. This will enable us to assess and approve them.

For this reason, we require our suppliers to complete the Self-Assessment questionnaire to see their commitment in governance, social issues, quality, health and safety, environment and conflict minerals among others. This information and also that regarding service, price, quality and claims will be taken into account in order to assign a score in accordance with our internal criteria. This assessment will be carried out on a yearly basis.

If you wish to know your score, please do not hesitate to contact us.

## SUPPLIER COMPLIANCE SELF-ASSESSMENT

### SUPPLIER INFORMATION

**Company Name:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**Prepared by:** \_\_\_\_\_

**Position:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Contact Details**      Phone: \_\_\_\_\_ EMAIL: \_\_\_\_\_

	No.	Question	YES	NO	In progress
<b>GOVERNANCE</b>	1)	Does the facility/company/group have an ethic code in place? If so, if possible, please provide a copy			
	2)	Does the facility/company/group have a Social Compliance program? If so, please attach a copy of your latest Social Compliance Audit Report and continue in question 26			
	3)	Does the facility/company/group have written personnel policies in place to prevent discrimination on race, ethnic group, gender, religion, sexual orientation, disability, marital status and age?			
	4)	Does the company/group promote equal opportunities for both genders?			
	5)	Does the company/group a policy for gender equality?			

	6)	Does the facility/company/group have procedures in place to ensure that the labour laws are fully complied with in regard to benefits, hours worked, rest day, holidays, termination/layoff, overtime and salary/payroll deductions?			
	7)	Does the facility/company/group comply with the legal minimum wage for standard working hours?			
	8)	Does the facility/company/group have a formal, written policy that clearly states a commitment to prevent harassment and abuse in the workplace?			
	9)	Does the facility/company/group have effective procedures to verify workers' ages to prevent employment of child labour?			
	10)	Does the facility/company/group have a formal, written policy that clearly states a commitment to prohibit all forms of forced labour including labour acquired through human trafficking, indentured labour, forced prison labour or slave labour?			
	11)	Are workers free to join or form trade unions or workers' organizations of their own choosing and collectively bargain, if permitted by law?			
	12)	Does the facility/company/group comply with the GDPR or any applicable legislation regarding Data Protection? If so, please provide copy of your policy.			
	13)	Has the PDA or any Data Protection Authority equivalent imposed a fine on the company/group within the last five years? If so, provide details.			

	14)	Does the company/group have a whistleblower channel? If so, please provide the details.			
	15)	Is the company/group or any related parties currently targeted by sanctions administered by the following bodies: UN, EU, UKHMT, HKMA, OFAC?			
	16)	Does the company have any current business activity involving individuals, entities or organizations which are currently targeted by sanctions administered by the following bodies: UN, EU, UKHMT, HKMA, OFAC?			
	17)	Does the company/group any business activity in Syria, North Korea, Crimea, Sudan, Iran or Cuba?			
	18)	Has the company/group had any legal proceeding with regard to any of the above questions within the last five years? If so, please provide details.			
	19)	Has the company/group its last beneficial owner placed in a tax heaven?			
	20)	Does the company/group have any fine or administrative sanction proceedings in place?			
	21)	Does the company/group have an anti-bribery policy?			
	22)	Are the company/group's employees allowed to offer or provide gifts or presents to clients/providers or receive gifts or presents from clients/providers? If so, is there any limited amount?			

	23)	Are the internal control systems, in particular, the accounting and record keeping subject to regular review and audit?			
	24)	Has any fine or sanction been imposed on the company/group in the last five years? If so, is it a minor or serious offense?			
	25)	Does the company/group comply with the Universal Declaration of Human Rights and the Convention of the Rights of the Child?			
<b>HEALTH AND SAFETY</b>	26)	Does the company/group have in place a Health and Safety management system certified in accordance with ISO 45001 or OHSAS? If so, attach the certificate and continue in question 30			
	27)	Is the facility management system in compliance with applicable safety and health laws and regulations?			
	28)	Does the company/group/facility have a written policy and procedures that define its approach to safety and health practices?			
	29)	Does the facility have a written emergency response plan and evacuation procedure for emergencies?			
<b>ENVIRONMENT</b>	30)	Does the company/group have in place an Environmental management system certified in accordance with ISO 14001? If so, attach the certificate and continue in question 38			
	31)	Is the facility management system in compliance with applicable environmental laws and regulations?			

	32)	Does the facility hold the necessary license(s) or permit(s) for (select all that apply)?  <ul style="list-style-type: none"> <li>• Air emissions</li> <li>• Storage or use of hazardous substances</li> <li>• Wastewater management</li> </ul>			
	33)	Does the facility regularly test air emissions (i.e. NOx, SOx, mercury, hazardous air pollutants)?			
	34)	Does the facility treat wastewater prior to off-site discharge?			
	35)	Has the company/group been Environmentally sanctioned in the last five years? If so, please provide details.			
	36)	Does the company/group have an insurance policy? If so, does it cover civil liability?			
	37)	Does the company/group have an Environmental/Pollution Liability Insurance? If so, please provide policy copy or certificate.			
<b>QUALITY</b>	38)	Does the company have in place a Quality management system certified in accordance with ISO 9001? If yes, attach the certificate and continue in question 42			
	39)	Does the facility have a written policy and procedures that define its approach to quality?			
	40)	Do you carry out calibration of test equipment with traceable patterns?			
	41)	Do you carry out quality controls of the supplied products?			



<b>CONFLICT MINERALS</b> (Gold, tin, tantalum, tungsten and Cobalt)	42)	To ensure compliance with Conflict Minerals requirements, Altadia requires you to submit specific information.  If you supply us with these products, you should fill in the appropriate Conflict Minerals Reporting Template (CMRT) attached to this questionnaire.			
<b>PACKAGING</b>	43)	If your products are packaging or if you are selling us packed products, indicate if you are taking any sustainability initiative. Please send us additional information about it.			
<b>CARBON FOOTPRINT</b>	44)	Have you performed a carbon footprint assessment or calculation? If so, send us information about it.			
<b>SUSTAINABILITY</b>	45)	Has an Ecovadis assessment been carried out or have emissions reduction targets been established according to SBTi, CDP or others? If yes, please attach information about it.			
<b>ESG</b>	46)	Do you prepare an ESG report or report on the status of non-financial information? If yes, please attach a copy of the latest ESG report or non-financial information statement.			
<b>GENERAL</b>	47)	As a supplier of Altadia group, do you allow us or our advisors to visit and/or audit your facilities?			

As proof of conformity with the above:

Name and surname: \_\_\_\_\_

Identification Number/ Passport Number:

\_\_\_\_\_

Place \_\_\_\_\_, Date: \_\_\_\_\_

*Signature and Stamp*

BASIC INFORMATION ABOUT DATA PROTECTION OF SUPPLIER MANAGEMENT	
<b>Manager:</b>	Altadia GROUP
	DPO: dpo@altadiagroup.com
<b>Purpose:</b>	Supplier Self-Assessment Contact information management
<b>Legitimation:</b>	Supplier Self-Assessment: Compliance assessment Contact information management: Legitimate interest of the Manager
<b>Assignments:</b>	Supplier Self-Assessment <ul style="list-style-type: none"> <li>- Service providers hired by the Organization</li> <li>- Other companies of the group</li> </ul> Contact information management: <ul style="list-style-type: none"> <li>- Service providers hired by the Organization</li> <li>- Other companies of the group</li> </ul>
<b>Recipients:</b>	Managers of the Data processing outside EU, taking into account "Privacy Shield"
<b>Rights:</b>	Accessing, rectifying and deleting the data, in addition to other rights, as explained in the additional information.
<b>Additional information:</b>	You can request detailed information about the data processing through dpo@altadiagroup.com

As proof of conformity with the above regarding my personal data processing, I sign the following:

Name and surname: \_\_\_\_\_

Identification Number/ Passport Number:

\_\_\_\_\_

Place \_\_\_\_\_, Date: \_\_\_\_\_

*Signature and Stamp*