

PROCUREMENT - SUPPLIER CODE OF CONDUCT GUIDELINES

1. Purpose

AUT are committed to the highest standards of social and environmental responsibility and ethical conduct. We have a mission to maintain operational integrity and safety always and are committed to New Zealand's success through social, environmental and economic sustainability provisions. We recognise the importance of minimising the impact of our operations on our surroundings by operating in a sustainable manner.

We seek to engage and collaborate with suppliers who share our commitment and approach to conducting business. The AUT Supplier Code of Conduct (Code) supports the continued application of our commitment to advance social, environmental and ethical responsibility beyond our own operations to our supply chain. We expect AUT suppliers to meet the minimum standards defined by this Code and fully comply with all national applicable laws and regulations when conducting business with AUT..

2. Scope

This Code outlines minimum standards and expectations applicable to all Suppliers, including their parent, subsidiaries, affiliates and subcontractors ("Suppliers") providing goods / services to AUT.

Suppliers will be responsible for all activities associated with disseminating and educating their employees, agents and Suppliers on this Code, verifying compliance with this Code and taking action in response to non-compliance.

3. Code Standards

Labour and human rights

AUT supports the protection of human rights and is guided by principles such as those in the UN Global Compact, to which AUT is a signatory, the United Nations Universal Declaration of Human Rights, UN Convention on the Rights of the Child and the International Labour Organisation (ILO) Core Conventions.

We encourage our Suppliers to embrace international standards relating to human rights. Suppliers must respect the labour rights of their employees in the workplace and monitor human rights within their supply chain. As a minimum, Suppliers must ensure:

- Employees are not subjected to discrimination based on race, national origin, ethnicity, religion, gender, age, marital status, sexual orientation, disability or any other reason
- All products and services supplied to AUT are manufactured or provided under safe and healthy conditions
- Only employees who are legally authorised to work in their facilities are employed. Suppliers shall be responsible for validating their employees' eligibility to work through appropriate documentation
- All employees meet the local legal minimum labour age permitted by the law of the country or countries where the performance, in whole or in part of the contract, takes place. Child labour is strictly prohibited.
- Employees engaged in the manufacture and supply of products and services are voluntarily employed, and under no circumstances is any form of forced, coerced, bonded, indentured or involuntary labour or otherwise used

- All employees are paid a proper and competitive wage which meets their basic needs and provides discretionary income, and is no less than the standards specified by local laws, where applicable
- Employee working hours, including voluntary overtime work, and the granting of leave of any form, are in accordance with applicable local and/or national laws. Workers shall not work more hours in one week than allowable under local laws. Overtime is to be voluntary, compensated at a legal rate and must be provided under safe and healthy work conditions
- Employees are not exploited or subjected to abuse of any kind, including psychological, physical, sexual or verbal abuse. Intimidation, threat or harassment is not tolerated
- Employees' right to freedom of association and collective bargaining is acknowledged. Where these rights are restricted by law, Suppliers will not hinder the development of alternative means of independent and free association and bargaining

Health and safety

AUT Suppliers must ensure the health and safety of all persons within their organisation, and ensure compliance with all nationally recognized regulatory and statutory health and safety requirements.

Suppliers must integrate sound health and safety management policies, practices and management systems into their businesses. They must be designed to promote the general health of employees, reduce work-related injuries and illness and ensure the safety and quality of all products and services as specified in the supply agreement.

Suppliers must make a copy of their health and safety policy available to all staff and provide employees with appropriate workplace health and safety training. Additionally, while at any AUT premises, all Supplier personnel must comply with AUT's health and safety requirements.

It is of particular importance to AUT to maintain an alcohol-free and drug-free working environment. Suppliers must comply with AUT's Alcohol and Other Drugs Policy by ensuring their employees, agents or subcontractors are aware of this policy, and maintain a zero blood alcohol level and remain drug-free at all times while providing goods or services to AUT.

Environmental sustainability

AUT will continuously improve processes to minimise the negative impacts of its business operations on the global environment. We will conduct business with Suppliers who share our commitment to establish environmentally responsible business practices and proactively improve our environmental performance. As a minimum, Suppliers must:

- Conduct their business in accordance with all applicable nationally recognized laws and regulations regarding the protection and preservation of the environment
- Comply with all applicable environmental laws and regulations, including those relating to hazardous materials, air emissions, waste and wastewater discharges
- Have an environmental policy that is proportionate to the environmental risk of their business operations
- Endeavour to reduce operational environmental impacts such as those pertaining to waste disposal, air emissions and pollution, and require their subcontractors and Suppliers to do the same. Actively support our goal to establish transparency and traceability within all levels of our supply chain and be willing to share information on the origin of where products and subcomponents are produced
- Consider the whole of life impact of their goods and services on the environment

Ethical business

All AUT Suppliers must adhere to high standards of moral and ethical conduct, comply with all applicable laws and regulations and refrain from engaging in any form of corrupt practices, including anti-competitive activity. Business dealings must be handled with integrity, transparency and honesty. As a minimum, Suppliers must:

- Conduct their business in full compliance with all applicable competition and fair-trading laws at all times
- Comply with 'insider trading' laws when in possession of information about the AUT (or any member thereof) or another company that is not available to the investing public and that could influence an investor's decision to buy or sell stock
- Comply with anti-corruption and anti-bribery laws of the countries in which it does business, and not make any direct or indirect payments, including bribes, kickbacks or other promises of payments to foreign government officials or other third parties for the purpose of inducing the individual to misuse their position to obtain or retain business, receive improper benefits or other unfair or improper advantage
- Disclose any actual, perceived or potential conflict of interest to AUT, including any employee or contractor of AUT who may have an interest or economic tie of any kind in the supplier's business
- Maintain transparent and accurate financial and business records to demonstrate compliance with applicable laws and regulations, as well as generally accepted accounting principles. Such information must be disclosed without falsification or misrepresentation to appropriate parties as required

Security

Suppliers must be aware of and comply with all AUT security policies and standard operating procedures.

When on any AUT site, Supplier personnel must comply with all access, security and identification requirements and procedures specified by AUT.

Information security

Suppliers must comply with AUT's requirements relating to personal information, confidentiality, security, data privacy and intellectual property protection. Suppliers must ensure appropriate controls are in place to protect AUT's brand and intellectual property against unauthorised use and damage.

Any information used in the business relationship with AUT that is non-public and proprietary must be protected against loss and infringement. Any disclosure or use of such information must only be for the purposes authorised by the contractual agreement.

In case of sub-contracting, sharing of confidential information must be made with the prior consent of AUT.

Emergency prevention, preparedness, response and business continuity

Suppliers shall identify and assess potential emergency situations and develop appropriate risk management controls, business continuity and emergency response plans to minimise harm and damage to property. This must be available on request by AUT.

All Suppliers must be aware of and comply with the AUT's Crisis, Emergency and Business Disruption Management Manual as appropriate.

Commercial sustainability

AUT values Suppliers who contribute to our development of a sustainably-aware supply chain.

Our Suppliers should actively pursue opportunities for continuous improvement and development of process efficiencies in product and service delivery. This may include minimisation of waste, ongoing innovation and market developments and total cost reduction.

We expect our Suppliers to be transparent about their social, environmental and economic sustainability practices and to actively participate in AUT procurement program activity.

4. Application of the Code

The standards of this Code are in addition to, and not in lieu of, provisions of any legal agreement or contract between Suppliers and AUT.

AUT recognises that achieving these standards will involve a dynamic process and encourages Suppliers as a minimum to:

- Meet the standards set forth in this Code, or, where any standards are not met, establish clear goals toward meeting the standards set forth in this Code within an agreed time period, and
- Actively review, monitor and modify their management processes and business operations to ensure they facilitate continuous improvement

AUT reserves the right to undertake the following inspections as part of its ongoing monitoring of compliance:

- Monitor that milestones have been set and management systems have been put in place to ensure that the principles set out in this Code have been met, and
- Verify compliance with the Code through site and facility audits

Suppliers must maintain and be able to provide AUT with documentation which demonstrates compliance with this Code on request.

AUT recognises the importance of observing the conduct, standards and behaviors described in this Supplier Code of Conduct and is committed to observing, as a minimum, the standards defined by this Code when conducting business.

First Name*

Last Name*

Business Name*

E-mail*

* mandatory fields, I understand that by submitting this form on behalf of my business I'm agreeing that the above business will adhere to AUT's Supplier Code of Conduct Guidelines