

Supplier Code of Conduct

Guiding principles for
TÜV Rheinland's cooperation
with suppliers*

*Def.: „TÜV Rheinland“ refers to TÜV Rheinland AG and companies in which
TÜV Rheinland AG directly or indirectly holds at least 50% of the shares.

Preamble

Our claim

We want to make the world a safer and more sustainable place. Since 1872, the mission of TÜV Rheinland has been to enable safety and quality to meet the challenges arising from the interaction between people, the environment, and technology. In this respect, sustainability is particularly important. The contribution of our suppliers¹ is essential for our commitment to quality, to future viability, and to the positive contribution of our services toward sustainable development. TÜV Rheinland is committed to respecting human and labor rights, the preservation and sustainable protection of the environment, the transformation to a climate-friendly economy, and the combating of all forms of corruption. To this end, we set up structures, processes, and practices as well as targets for continuous improvement in the areas of Environment, Social and Governance (ESG), and ensure transparency in our actions.

Our expectations

We set this responsible behavior not only for ourselves, we also ask our suppliers to do the same on the basis of the ten principles of the United Nations Global Compact together with the corresponding international conventions and standards. In particular we expect our suppliers to adhere to the United Nations Guiding Principles on Business and Human Rights, the International Labour Organization (ILO) Declaration on Fundamental Principles and Rights at Work, the international conventions on climate and nature conservation, and the United Nations Convention against Corruption, as well as the ISO 45001 and ISO 14001 standards.

We consider ourselves part of the value chain and expect our direct suppliers to respect the guiding principles and requirements described below, to share them with their own workers, and to ensure compliance with them. Our suppliers are furthermore encouraged to integrate these requirements into their business relationships with their own suppliers and to work towards their implementation.

Sustainable collaboration and continuous improvement

Only together can we achieve more. Therefore, we have developed this Supplier Code of Conduct (SCoC) as guiding principles for our cooperation with you, our suppliers, and we support you in its implementation. We expect you to focus equally on cooperative collaboration and continuous improvement.

At TÜV Rheinland, we pursue a sustainability-oriented and risk-based approach towards due diligence and recognize that our suppliers are at different stages of readiness in terms of the requirements outlined within this document. Our shared commitment to meet these requirements, as well as a shared desire to minimize risks and work towards sustainable development, are fundamental to us and crucial in our collaboration.

We are very pleased to walk this pathway together with you.



Dr. Michael Fübi
Chairman of the Executive Board



Katharina Baran
Member of the Executive Board



Philipp Kortüm
Executive Vice President

October, 2023

1. Human and labor rights

We expect our suppliers to create a working environment that enables workers to carry out their work safely and that respects and promotes the physical and mental well-being of all workers. Our suppliers undertake to comply with applicable legislation and operate in accordance with international conventions on human and labor rights. They ensure that they prevent, remedy, and avoid negative impacts on human and labor rights. This means in particular:

1.1 EQUAL TREATMENT, DIVERSITY AND INCLUSION

TÜV Rheinland expects you to work towards a working environment that promotes diversity, equal opportunities and that is free from discrimination whether based on national and ethnic origin, social background, health status, disability, sexual orientation, age, gender, political opinion, religion, or belief, among others. You recognize that discrimination can occur in various forms, and it is important to identify and counteract such discrimination through measures such as equal pay, the promotion of an inclusive corporate culture and programs to educate and raise awareness.

1.2 PROHIBITION OF CHILD LABOR

TÜV Rheinland expects you to ensure compliance with the minimum age for admission to employment in accordance with international guidelines and national regulations, whereby the age limit of 15 years may not be undercut. You commit to verify and document the age of your workers prior to the initiation of employment and not to allow any child labor.

1.3 PROHIBITION OF FORCED LABOR AND SLAVERY

TÜV Rheinland expects you to ensure that your business activities are free from forced labor, slavery, or slavery-like practices, and human trafficking. The exploitation of personal, economic, physical, or psychological coercion must be avoided. This includes the full or partial non-payment of earned wages, the withholding of property, the denial of social payments in accordance with the legal provisions at the place of employment, the withholding of necessary work papers or documents, and the imposing of agency commissions.

1.4 FAIR AND RESPECTFUL TREATMENT

TÜV Rheinland expects you to create a professional working environment in which workers are treated fairly and respectfully. You must not tolerate degrading or inhumane treatment, physical punishment, verbal abuse, psychological or physical coercion, sexual harassment, bullying, abuse, and/or torture, and you endeavor to prevent this through appropriate measures. It must also be ensured that these requirements are complied with, if private or public security forces are commissioned or deployed to protect business projects and activities (as well as real estate and properties).

1.5 OCCUPATIONAL HEALTH AND SAFETY

TÜV Rheinland expects you to diligently implement a systematic occupational health and safety management system. In addition, you are to ensure the following requirements for the working environment and working conditions:

- The working environment must be clean, well-illuminated and ventilated. This also includes access to drinking water and clean sanitary facilities.
- Any recognized inadequate safety standards or absence of appropriate protective measures against identified hazards, including chemical, biological, and physical hazards, are rectified promptly.
- Procedures and systems shall be established for the prevention, treatment, management, tracking, and reporting of occupational accidents and diseases. Possible emergency situations and incidents must be prevented, identified, assessed, and appropriately dealt with in order to minimize their impact.
- To prevent excessive physical and mental fatigue, safe working procedures must be established, and appropriate work organization in terms of working hours and rest breaks must be maintained.
- Information and training on workplace safety is provided to workers.

1.6 APPROPRIATE WORKING HOURS AND REMUNERATION

TÜV Rheinland expects you to ensure that all workers receive a wage that meets the legal requirements of their respective place of employment as a minimum standard. This includes compliance with the applicable regulations on working hours, overtime, and paid leave. You also ensure that remuneration is structured such that it allows workers to meet their basic needs and lead a dignified life.

1.7 FREEDOM OF ASSOCIATION

TÜV Rheinland expects you to respect the right of workers to associate, organize, and appoint worker representatives without fear of discrimination or disadvantage, in accordance with applicable laws.

1.8 PRESERVATION OF LIVELIHOODS AND LOCAL COMMUNITIES

TÜV Rheinland expects you to prevent harmful soil change, water pollution, air pollution, harmful noise emission, and excessive water consumption. These preventative measures are even more critical where there is a risk of harm to the health of individuals and communities, significant impairment of food production, and denial of access to safe drinking water and sanitation. Furthermore, you confirm that you will not tolerate any unlawful expropriation or eviction of land, forests, and waters.

2. Environment

We expect our suppliers to responsibly manage the environmental impact of their business activities on water, soil, and air. Our suppliers commit to comply with applicable laws and to operate in accordance with international conventions on climate and environmental protection. They ensure that the negative effects of their business activities on nature and the climate are prevented, minimized as far as possible, and prospectively avoided. This includes in particular:

2.1 ENERGY CONSUMPTION AND CLIMATE PROTECTION

TÜV Rheinland expects you to measure, monitor, and manage your greenhouse gas emissions. To this end, scientifically based targets for the reduction of greenhouse gas emissions along the value chain in Scopes 1, 2, and 3 are to be defined and aligned in accordance with the global climate target (Limiting global warming to 1.5 degrees Celsius). These targets should be consistently tracked and implemented. Greenhouse gas emissions should first be avoided and reduced, and only if neither is possible should they be offset through compensation projects. Furthermore, you are asked to set targets for energy efficiency, monitor and document electricity and energy consumption in order to reduce these and expand the use of renewable energies.

2.2 ENVIRONMENTAL MANAGEMENT AND RESOURCE CONSERVATION

TÜV Rheinland expects you to adhere to environmental regulations and operating licenses and to employ a systematic approach to managing environmental aspects, thereby responsibly and efficiently manage water, energy and resource consumption. You aim to raise your workers' awareness of these issues by providing information and training. You ensure that violations of environmental regulations are immediately identified, negative consequences are eliminated, causes are assessed, and recurrence is prevented by taking appropriate measures.

2.3 WATER POLLUTION, EMISSIONS, AND CHEMICALS

TÜV Rheinland expects you to integrate and comply with legal requirements and international and local regulations relating to waste, wastewater, contaminants, and chemicals in your operating processes.² In particular, you commit to appropriately handle, measure, control and permanently reduce the use of hazardous substances. This applies to procurement, storage, handling, transportation, and disposal. You agree to work towards ensuring adequate processes are in place to minimize the corresponding risks and prevent the inadvertent release of hazardous substances.

3. Ethical business conduct

We expect our suppliers to uphold the highest standards of integrity and to act responsibly and cooperatively. Our suppliers commit to operate in accordance with applicable laws, international agreements, and industry-specific regulations. This includes in particular:

3.1 ANTI-CORRUPTION

TÜV Rheinland expects you to reject and prevent fraud and corruption of any form and in every way and manner in your business divisions. You commit to comply with all applicable national and international anti-corruption laws and regulations. You do not offer, give, or accept money or other benefits (either directly or indirectly) to influence actions.

3.2 CONFLICTS OF INTEREST

TÜV Rheinland expects you to commit to transparently disclose situations in which your ability to conduct business in a fair, impartial, and ethical manner is impaired. This applies to your company, its legal representatives, workers, or external parties engaged, whether through shares held, private, family, or other professional interests. If conflicts of interest arise or change during the course of a contractual relationship, they must be proactively disclosed to ensure an appropriate approach is taken.

3.3 FAIR BUSINESS CONDUCT

TÜV Rheinland expects you to conduct your business relationship in a fair manner, wherein no deliberately incorrect statements are made. Activities that violate antitrust or tendering regulations or lead individuals to violate confidentiality obligations, industrial espionage, and data theft are prohibited.

3.4 FOREIGN TRADE

TÜV Rheinland expects you to comply with the applicable provisions of national and international (re-)export control law when carrying out your activities. Compliance with corresponding notification obligations for the implementation of export controls as well as sanctions and embargo regulations are required.

3.5 INTEGRITY

TÜV Rheinland expects you to operate with a high degree of reliability, neutrality, and both professional and personal integrity. Compliance with relevant national and international laws, legal regulations, and self-imposed obligations forms the basis of entrepreneurial activity. This must be aligned in such a way that fundamental moral values are observed. Deliberate deviations from agreed service components are not permissible or must otherwise be justified, transparently disclosed, and communicated.

3.6 INFORMATION SECURITY, CONFIDENTIALITY, AND DATA PROTECTION

TÜV Rheinland expects you to maintain appropriate data protection and information security systems to effectively protect confidential information of workers and business partners against unauthorized access by third parties or disclosure at all times - before, during, and after the provision of services as agreed by the parties. In particular, you confirm to take appropriate technical and organizational security measures according to current technological standards. Personal data or information may only be processed within the boundaries of the applicable legal framework and used for legitimate business purposes.

3.7 INTELLECTUAL PROPERTY PROTECTION

TÜV Rheinland expects you to protect intellectual property, to respect copyrights and industrial property rights (trade-marks, patents, designs), and to safeguard business secrets. The transfer and permission to use copyrights and industrial property rights as well as the use and disclosure of trade secrets, confidential information, and know-how to third parties must be carried out in such a way that ensures that respective property rights are protected.

4. Compliance with our expectations through our suppliers

A respectful, trusting, and successful relationship with our suppliers depends crucially on a shared commitment to integrity, sustainability, and responsible due diligence.

We expect you to adhere to the requirements set out in sections 1, 2, and 3 in accordance with our guiding principles. You will take appropriate measures to ensure compliance with these requirements in your own business area.

We aim to work towards ensuring that these expectations are fulfilled and actively implemented in our supply chains and that you communicate these requirements to your suppliers and appropriately address the resulting obligations towards your suppliers.

4.1 SUPPORT FOR IMPLEMENTING THE REQUIREMENTS RESULTING FROM THE GUIDING PRINCIPLES

We support you in your efforts to uphold your human rights and environmental due diligence obligations in your business area, to establish ethical business conduct and to combat abuses. To this end, we offer you information, training, and opportunities for constructive exchange.

4.2 REPORTING VIOLATIONS OR SUSPICION OF VIOLATIONS

You are both entitled and encouraged to report any violation - or the suspicion of such violation - of the requirements set out in sections 1, 2, and 3. In case of significant violations you are required to report immediately. You must ensure that your workers are fully briefed on this requirement. Reports of violations or suspected violations can be made - also anonymously - via the whistleblower platform set up by TÜV Rheinland at www.tuv.com/whistleblowing. We ensure the confidentiality of all reports via our whistleblower system and, if necessary, provide contact persons who act independently from our Executive Board or management. It is also possible for you to set up your own whistleblower system, provided that the requirements of confidentiality and independence are ensured.

4.3 PREVENTIVE AND REMEDIAL MEASURES

Should there be a risk of a violation of any of the requirements listed in Sections 1, 2, or 3 in your business or should a violation of any of the listed requirements occur in your business area, you commit to work to prevent or stop the violation. You commit to take appropriate measures that can be expected to effectively prevent or stop the violation.

Upon request, you will provide TÜV Rheinland any information about the measures taken. If the violation cannot be stopped immediately, you agree to work with TÜV Rheinland to develop a plan of action and align on a timetable for its implementation and review. You acknowledge that the above measures may also be required repeatedly, namely if a significantly changed or extended risk situation arises.

4.4 RIGHT TO INFORMATION AND INSPECTION

Should we, as a result of our risk analysis, come to the conclusion that you are at risk of violating one of the requirements listed in points 1, 2, and 3, or should there be a violation of one of the listed requirements in your business area, TÜV Rheinland may request you to provide all information that we deem necessary to assess compliance with the requirements of the Guiding Principles. You agree to provide this information upon request. TÜV Rheinland will carry out the risk analysis annually and, if necessary, on an ad hoc basis. In such instances, you agree to provide the required information repeatedly. Insofar as this is necessary to carry out the risk analysis or in the event that there are justified indications of a violation of the requirements at your company, TÜV Rheinland is entitled to inspect your business premises, review documents, and interview your workers. TÜV Rheinland may also commission third parties for this purpose. You guarantee your cooperation.

4.5 CONSEQUENCES OF VIOLATIONS

If you fail to fulfill your obligations under the above clauses 4.1 to 4.4, TÜV Rheinland reserves the right to suspend the business relationship with you until you have fulfilled your obligations. If there is a severe violation of one of your obligations under clause 4.3, and if a solution is not timely developed to remediate the violation, TÜV Rheinland also reserves the right to permanently terminate the business relationship with you (i.e., to terminate ongoing obligations for material breach or good cause or to withdraw from contracts that have not yet been completely performed). This does not apply if less severe means are available to end the violation.

Further claims to which TÜV Rheinland is entitled in the event of a violation of obligations by you (in particular the right to demand compensation for any damages incurred) remain unaffected.

CONTACT AND FURTHER INFORMATION

Transparency is an important element of corporate due diligence. If you have any concerns about unlawful behavior or misconduct, please report them to the appropriate whistleblower platform, which you can access anonymously at any time via the following link:

Whistleblower platform TÜV Rheinland:

www.tuv.com/whistleblowing

Further details and information can be found at:

[TÜV Rheinland Code of Conduct](#)

[Policy statement on human rights and environmental due diligence](#)

1) Scope of application: These Guiding Principles apply to all suppliers, service providers, and business partners of TÜV Rheinland who supply products or services to or for TÜV Rheinland.

2) Including international regulations such as the 2013 Minamata Convention on Mercury, the 1989 Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal, the 2001 Stockholm Convention on Persistent Organic Pollutants (POPS Convention) as well as other national frameworks (e.g., the German Hazardous Substances Ordinance).

TÜV Rheinland AG
Am Grauen Stein
51105 Cologne
Germany

www.tuv.com



© TÜV, TÜEV and TUV are registered trademarks. Utilisation and application requires prior approval.