

## TWE Group Corporate Complaint Management

At the TWE Group we are committed to conducting our business affairs in accordance with the laws and regulations of the jurisdictions in which we operate. We believe our record in terms of upholding this commitment is exemplary.

However, if you, whether a TWE employee or not, have recently made an observation or had an experience which shows we might need to improve still further, then we would like to know.

A web-based portal, operated by TWE's designated external partner Eagle, can be used to anonymously report, any of the following:

- A perceived violation or risk of violation of a prohibition of the German Act on Corporate Due Diligence Obligations in Supply Chains (LkSG)

The violation may relate to the activities of a TWE Group location or a direct or indirect supplier of the TWE Group

- A perceived violation of the German General Act on Equal Treatment (AGG) or the German Whistleblower Protection Act (HinSchG)

The violation may relate to any TWE Group location and any TWE Group employee with whom the reporting person has come into contact.

Please use the following weblink to register a complaint on the portal. Afterwards you can access the portal at any time to check the status of the complaint and access any notifications:

[https://sicher-melden.de/whistle/#/mainpage/eagle/TWE\\_Group](https://sicher-melden.de/whistle/#/mainpage/eagle/TWE_Group)

If you wish to know more about how your complaint will be processed, please refer to the following pages where the procedure used by the TWE Group is described in detail.

If your complaint relates to a perceived violation of the German Whistleblower Protection Act (HinSchG) and you do not feel comfortable registering the complaint on the portal, you might alternatively wish to register the complaint with the German Federal External Reporting Office (Bundesamt für Justiz) using the following weblink:

<https://www.bundesjustizamt.de>



Jörg Ortmeier  
CEO






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**Verfahrensanleitung  
Procedural Instruction**

**Thema: Beschwerdemanagement im Unternehmen  
Topic: Corporate Complaint Management**

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TWE\_MP0401\_Pi\_Te\_En

## Übersicht / Survey

Purpose	<p><i>This procedure describes how a person, whether a TWE employee or not, can report a perceived violation or risk of violation of a prohibition of the German Act on Corporate Due Diligence Obligations in Supply Chains (LkSG). The violation may relate to the activities of a TWE Group location or a direct or indirect supplier of the TWE Group.</i></p> <p><i>This procedure also describes how a person, whether a TWE employee or not, can report a perceived violation of the German General Act on Equal Treatment (AGG) and the German Whistleblower Protection Act (HinSchG). The violation may relate to any TWE Group location and any TWE Group employee with whom the reporting person has come into contact.</i></p>
Responsibility	<p><i>The TWE Group Human Resources Director is responsible for the implementation of this procedure.</i></p>
Validity	<ul style="list-style-type: none"> <li>• <i>This procedural instruction is valid for the TWE Group. The locations of the TWE Group are listed in the management manual.</i></li> <li>• <i>Procedural instructions at all locations of the TWE Group shall be prepared according to the template which has been used for this document</i></li> </ul>
Distribution, changes	<ul style="list-style-type: none"> <li>• <i>The organisation shall be notified about the existence of this procedural instruction in accordance with the procedural instruction "Document control".</i></li> <li>• <i>Changes to this document shall be made strictly in accordance with the procedural instruction "Document control".</i></li> </ul>
Storage, withdrawal and archiving	<ul style="list-style-type: none"> <li>• <i>This procedural instruction can be accessed in a non-editable digital format on SharePoint.</i></li> <li>• <i>Group Quality &amp; Process Management holds the procedural instruction in the original editable digital format.</i></li> <li>• <i>Once withdrawn, this procedural instruction shall be archived in accordance with the procedural instruction "Document control".</i></li> </ul>
Abstract	<p><i>A person, whether a TWE employee or not, perceives a violation or risk of violation of either the German Act on Corporate Due Diligence Obligations in Supply Chains, Whistleblower Protection Act or General Act on Equal Treatment. A complaint is registered by this person (referred to as the "complaint issuer") Provided that the complaint actually concerns a violation or risk of violation of the above-mentioned German laws then the facts relating to the complaint are verified. Should a violation or risk of violation be evident, then following a determination of the cause(s), appropriate corrective and preventive actions shall be taken by TWE.</i></p>
Assessment	
Normative reference	<ul style="list-style-type: none"> <li>• <i>The German Act on Corporate Due Diligence Obligations in Supply Chains (LkSG)</i></li> <li>• <i>The German General Act on Equal Treatment (AGG)</i></li> <li>• <i>The German Whistleblower Protection Act (HinSchG)</i></li> </ul>

## Änderungsdokumentation / *Change Documentation*

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# 1 Process illustration

No.	Input Records	Process Process steps	Output Records	Responsibility				
				D	R	S	I	C
		Start						
1	<ul style="list-style-type: none"> <li>Act on Corporate Due Diligence Obligations in Supply Chains (LkSG) (Section 2, Paragraphs 2 und 3)</li> <li>Whistleblower Protection Act (HinSchG)</li> <li>General Act on Equal Treatment (AGG)</li> </ul>	Violation or risk of violation perceived	<ul style="list-style-type: none"> <li>Perceived violation or risk of violation of a prohibition of the German Act on Corporate Due Diligence Obligations in Supply Chains (LkSG) or,</li> <li>Perceived violation of the German Whistleblower Protection Act (HinSchG) and German General Act on Equal Treatment (AGG)</li> </ul>					
2	<ul style="list-style-type: none"> <li>Perceived violation or risk of violation of a prohibition of the German Act on Corporate Due Diligence Obligations in Supply Chains (LkSG) or,</li> <li>Perceived violation of the German Whistleblower Protection Act (HinSchG) and German General Act on Equal Treatment (AGG)</li> <li>TWE Intranet/Internet Site/myTWE App</li> <li>Portal</li> </ul>	Register complaint	<ul style="list-style-type: none"> <li>Complaint registered in the portal in writing or via a voice recording</li> <li>Unique "Report ID" assigned to the complaint</li> <li>Complaint issuer assigns a password to track the processing status of the complaint on the Portal</li> <li>Complaint issuer provides a contact email address for the complaint (optional)</li> </ul>					
3	<ul style="list-style-type: none"> <li>Complaint registered in the portal in writing or via a voice recording</li> <li>Portal</li> </ul>	Send confirmation of receipt to complaint issuer	<ul style="list-style-type: none"> <li>Complaint issuer receives a confirmation of receipt of the complaint via the portal</li> <li>Complaint issuer is informed about the timing of the following steps and their rights in relation to protection against discrimination or punishment</li> <li>Complaint issuer is informed about the contact persons at Eagle in relation to their complaint</li> </ul>					
4	<ul style="list-style-type: none"> <li>Act on Corporate Due Diligence Obligations in Supply Chains (LkSG) (Section 2, Paragraphs 2 und 3)</li> <li>Whistleblower Protection Act (HinSchG)</li> <li>General Act on Equal Treatment (AGG)</li> <li>Complaint registered in the Portal in writing or via a voice recording</li> </ul>	Check applicable legal basis for complaint	<ul style="list-style-type: none"> <li>Applicable legal basis for complaint checked</li> </ul>					
5	<ul style="list-style-type: none"> <li>Applicable legal basis for complaint checked</li> </ul>	Applicable legal basis for complaint? No	<ul style="list-style-type: none"> <li>Decision taken as to whether there is an applicable legal basis for the complaint or not</li> </ul>					
6	<ul style="list-style-type: none"> <li>No applicable legal basis for the complaint</li> <li>Sample letter for the rejection of a complaint</li> <li>Portal</li> </ul>	Send final notification of rejection to complaint issuer	<ul style="list-style-type: none"> <li>Notification of rejection sent to complaint issuer, including information about other options for raising the concern</li> </ul>					
7	<ul style="list-style-type: none"> <li>Applicable legal basis for the complaint</li> </ul>	Submit complaint to contact person at TWE	<ul style="list-style-type: none"> <li>Location-specific complaint submitted to the HR Manager or deputy of the respective location (cc. Managing Director/Plant Manager, Group Human Resources Director or their deputies)</li> <li>General complaint submitted to Group Human Resources Director or their deputy (cc. CEO)</li> </ul>					
8	<ul style="list-style-type: none"> <li>Complaint submitted to the contact person at TWE</li> </ul>	Contact responsible person for the affected area	<ul style="list-style-type: none"> <li>Responsible person for the affected area is contacted</li> <li>Details relating to the complaint shared via email</li> </ul>					
9	<ul style="list-style-type: none"> <li>Details relating to the complaint</li> <li>Form template TWE_MP0105_CorporateComplaintMngmt_Fr_Te</li> <li>Portal</li> </ul>	Verify the facts relating to the complaint	<ul style="list-style-type: none"> <li>Facts relating to the complaint verified</li> <li>Expectations of the complaint issuer with regard to possible corrective and preventive actions</li> <li>Form TWE_MP0105_CorporateComplaintMngmt_Fr_Te filled out</li> </ul>					
10	<ul style="list-style-type: none"> <li>Facts relating to the complaint verified</li> <li>Form TWE_MP0105_CorporateComplaintMngmt_Fr_Te filled out</li> </ul>	Violation or risk of violation evident? No	<ul style="list-style-type: none"> <li>Decision taken as to whether a violation or risk of violation is evident or not</li> <li>Form TWE_MP0105_CorporateComplaintMngmt_Fr_Te updated accordingly</li> </ul>					
11	<ul style="list-style-type: none"> <li>No evidence of a violation or risk of violation</li> <li>Form TWE_MP0105_CorporateComplaintMngmt_Fr_Te</li> <li>Portal</li> </ul>	Share the result of the verification of the facts relating to the complaint	<ul style="list-style-type: none"> <li>Result of the verification of the facts relating to the complaint is shared</li> </ul>					
12	<ul style="list-style-type: none"> <li>No evidence of a violation or risk of violation</li> <li>Result of the verification of the facts relating to the complaint is shared</li> <li>Portal</li> </ul>	Send final notification of rejection to complaint issuer	<ul style="list-style-type: none"> <li>Final notification of rejection sent to complaint issuer via the portal</li> </ul>					
13	<ul style="list-style-type: none"> <li>Evidence of a violation or risk of violation</li> <li>Form TWE_MP0105_CorporateComplaintMngmt_Fr_Te</li> <li>Portal</li> </ul>	Share the result of the verification of the facts relating to the complaint	<ul style="list-style-type: none"> <li>Result of the verification of the facts relating to the complaint is shared</li> </ul>					
14	<ul style="list-style-type: none"> <li>Evidence of a violation or risk of violation</li> <li>Result documented in Eagle Portal</li> <li>Portal</li> </ul>	Send interim notification to complaint issuer	<ul style="list-style-type: none"> <li>Complaint issuer receives an interim notification about the complaint via the portal</li> </ul>					
15	<ul style="list-style-type: none"> <li>Form TWE_MP0105_CorporateComplaintMngmt_Fr_Te</li> </ul>	Determine the cause(s) of the complaint	<ul style="list-style-type: none"> <li>Cause(s) of the complaint determined</li> <li>Form TWE_MP0105_CorporateComplaintMngmt_Fr_Te updated</li> </ul>					
16	<ul style="list-style-type: none"> <li>Cause(s) determined</li> <li>Form TWE_MP0105_CorporateComplaintMngmt_Fr_Te</li> <li>Expectations of the complaint issuer with regard to possible corrective and preventive actions</li> </ul>	Define corrective and preventive actions	<ul style="list-style-type: none"> <li>Corrective and preventive actions defined</li> <li>Form TWE_MP0105_CorporateComplaintMngmt_Fr_Te updated</li> </ul>					
17	<ul style="list-style-type: none"> <li>Corrective actions defined</li> <li>Form TWE_MP0105_CorporateComplaintMngmt_Fr_Te</li> </ul>	Implement corrective actions and check effectiveness	<ul style="list-style-type: none"> <li>Corrective actions implemented and effectiveness checked</li> <li>Form TWE_MP0105_CorporateComplaintMngmt_Fr_Te updated</li> </ul>					
18	<ul style="list-style-type: none"> <li>Corrective actions implemented and effectiveness checked</li> <li>Form TWE_MP0105_CorporateComplaintMngmt_Fr_Te</li> <li>Portal</li> </ul>	Share the status of the implemented actions	<ul style="list-style-type: none"> <li>Status of the implemented actions shared</li> </ul>					
19	<ul style="list-style-type: none"> <li>Status of the implemented actions shared</li> <li>Portal</li> </ul>	Send final notification to complaint issuer	<ul style="list-style-type: none"> <li>Final notification sent to complaint issuer via the portal</li> </ul>					
20	<ul style="list-style-type: none"> <li>Preventive actions defined</li> <li>Form TWE_MP0105_CorporateComplaintMngmt_Fr_Te</li> </ul>	Implement preventive actions	<ul style="list-style-type: none"> <li>Preventive actions implemented</li> <li>Form TWE_MP0105_CorporateComplaintMngmt_Fr_Te updated</li> </ul>					
21	<ul style="list-style-type: none"> <li>Preventive actions implemented</li> <li>Form TWE_MP0105_CorporateComplaintMngmt_Fr_Te</li> </ul>	Check effectiveness of preventive actions	<ul style="list-style-type: none"> <li>Effectiveness of actions checked</li> <li>Form TWE_MP0105_CorporateComplaintMngmt_Fr_Te updated</li> </ul>					
22	<ul style="list-style-type: none"> <li>BABA online input screen for LkSG reporting</li> </ul>	Reporting and statistical analysis	<ul style="list-style-type: none"> <li>Annual report and statistical evaluation about the complaints received and how they were handled</li> </ul>					
23	<ul style="list-style-type: none"> <li>Portal</li> <li>KPI results</li> <li>Corporate Complaint Management procedural instruction</li> </ul>	Conduct yearly effectiveness check of the procedure	<ul style="list-style-type: none"> <li>Effectiveness of the process checked and adjustments made if necessary</li> </ul>					
		End						

Figure 1.1: Sequence illustration of the process (flowchart)

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## 2 Description of process steps

### 2.1 Violation or risk of violation perceived

A person, whether a TWE employee or not, perceives a violation or risk of violation of a prohibition the German Act on Corporate Due Diligence Obligations in Supply Chains (LkSG). The violation shall be in relation to one of the prohibitions outlined in Section 2, Paragraphs 2 and 3 of the Act.

The violation may relate to the activities of a TWE Group location, or those of a direct or indirect supplier to the TWE Group.

Alternatively, a person, whether a TWE employee or not, perceives a violation of either the German General Act on Equal Treatment (AGG) or the German Whistleblower Protection Act (HinSchG). The violation may relate to any TWE Group location, as well as any employee of the TWE Group with which the reporting person has interacted.

This person is referred to as the "complaint issuer" from this point onwards.

### 2.2 Register complaint

The complaint issuer registers a complaint on the portal in writing or via a voice recording.

The complaint will be anonymized, unless the complaint issuer does not wish to remain anonymous and chooses to provide personal details whilst registering the complaint.

The complaint is assigned a unique "Report ID" and the complaint issuer is asked to choose a password in order to track the processing status of the complaint on the portal or to communicate with the responsible employees of the external service provider ("Eagle") which operates the portal.

If desired, the complaint issuer can provide an email address whilst registering the complaint. In this case, they will receive an e-mail notification as soon as there has been a change in status or a response in relation to the submitted complaint. However, the email address provided will not be used for direct communication with the complaint issuer or forwarded.

Note: If the complaint relates to a violation of the German Whistleblower Protection Act (HinSchG) and the complaint issuer does not feel comfortable registering the complaint on the portal, they can alternatively register the complaint with the German Federal External Reporting Office.

Note: A link to the portal has been set up on the TWE Group's intranet and internet pages and via the myTWE app.

### 2.3 Send confirmation of receipt to complaint issuer

The complaint issuer receives a confirmation of receipt via the portal within the statutory period. To access the confirmation of receipt, it is necessary to enter the reference ID and password.

If the complaint issuer has provided an email address, they will be informed of this change of status by email with the request to login to the portal to access the confirmation of receipt.

In the confirmation of receipt, the complaint issuer is informed about

- the timing of the following steps
- the contact persons at the external service provider "Eagle" in connection with their complaint, and
- their rights with regard to protection against discrimination or punishment

### 2.4 Check applicable legal basis for complaint

The applicability of the received complaint is checked. Specifically, a check is made as to whether or not the complaint actually concerns a perceived risk of violation or actual violation against any of the following German laws or not:

- Act on Corporate Due Diligence Obligations in Supply Chains (LkSG) (Section 2, Paragraphs 2 and 3)
- General Act on Equal Treatment (AGG)
- Whistleblower Protection Act (HinSchG)

It could be, for example, that the violation relates to a German law, but not one that is within the scope of this procedure.

## **2.5 Applicable legal basis for complaint?**

A decision shall be taken as to whether or not the complaint actually relates to a perceived risk of violation or actual violation against any of the German laws within the scope of this procedure or not.

If the decision is “yes”, proceed to Process Step 2.7. If the decision is “no”, proceed to Process Step 2.6 .

## **2.6 Send final notification of rejection to complaint issuer**

In the event that the complaint does not relate to a perceived violation or risk of violation against any of the German laws within the scope of this procedure, the complaint issuer will receive a final notification via the portal.

If the complaint issuer has provided an email address, they will be informed of this change of status by email with the request to login to the portal to access the notification.

Where possible, the complaint issuer will be informed about other options for raising the concern.

## **2.7 Submit complaint to contact to person at TWE**

In the event that the complaint does relate to a perceived risk of violation or actual violation against any of the German laws within the scope of this procedure, it will be submitted to the respective contact person at TWE for further processing.

The contact person at TWE will receive an email notification via the portal with the request to login to the portal to access the complaint.

In principle, complaints concerning individual TWE locations are submitted to the HR Manager or deputy of the respective location. The Managing Director/Plant Manager of the location and the Group Human Resources Director or their deputies are copied in on the email notification.

Complaints concerning the TWE Group are generally submitted to the Group Human Resources Director or their deputy, with the CEO copied in on the email notification. However, if a complaint concerns the Group Human Resources Director themselves, it will exceptionally be submitted to the CEO.

## **2.8 Contact responsible person for the affected area**

The person responsible for the area affected by the complaint is contacted. Details relating to the complaint are sent to them by email.

## **2.9 Verify the facts relating to the complaint**

The facts of the complaint are verified for accuracy.

The complaint issuer is contacted via the portal to identify any expectations which they might have regarding possible corrective/preventive actions and, if necessary, to clarify or supplement details relating to the complaint.

The form *TWE\_MP0105\_CorporateComplaintMngmt\_Fr\_Te* is then filled out.



## **2.10 Violation or risk of violation evident?**

A decision is taken as to whether a violation or risk of violation of one of the German laws within the scope of this procedure is evident or not.

If the decision is "yes", proceed to Process Step 2.13. If the decision is "no", proceed to Process Step 2.11.

## **2.11 Share the result of the verification of the facts relating to the complaint**

The result of the verification of the facts relating to the complaint is shared with Eagle via the portal.

## **2.12 Send final notification of rejection to complaint issuer**

A final notification of rejection will be sent to the complaint issuer via the portal, stating the reasons for the rejection.

If the complaint issuer has provided an email address, they will be informed of this change of status by email with the request to login to the portal to access the final notification of rejection.

## **2.13 Share the result of the verification of the facts relating to the complaint**

The result of the verification of the facts relating to the complaint is shared with Eagle via the portal.

## **2.14 Send interim notification to the complaint issuer**

An interim notification is sent to the complaint issuer via the portal within the statutory period.

If the complaint issuer has provided an email address, they will be informed of this change of status by email with the request to login to the portal to access the interim notification.

## **2.15 Determine the cause(s) of the complaint**

The cause(s) of the complaint are determined and documented accordingly in the form *TWE\_MP0105\_CorporateComplaintMngmt\_Fr\_Te*.

## **2.16 Define corrective and preventive actions**

Corrective and preventive actions for the complaint are defined and documented accordingly in the form *TWE\_MP0105\_CorporateComplaintMngmt\_Fr\_Te*.

Corrective actions should effectively eliminate the specific violation or risk of violation described in the complaint.

Preventive actions should prevent a future recurrence of the violation or risk of violation described in the complaint by effectively eliminating the root causes.

The complaint issuer may be contacted via the portal to obtain feedback on the proposed actions.

Note: If the complaint only concerns the risk of a violation, only a preventive actions needs to be defined.

## **2.17 Implement corrective actions and check effectiveness**

The defined corrective actions are implemented. The complaint issuer is then contacted via the portal to check the effectiveness of the corrective actions together with them.

The form *TWE\_MP0105\_CorporateComplaintMngmt\_Fr\_Te* is updated accordingly.

## **2.18 Share the status of the implemented actions**

The status of the implemented actions is shared with Eagle via the portal.

## **2.19 Send final notification to complaint issuer**

A final notification is sent to the complainant via the portal, containing the corrective actions and their status and effectiveness.

## **2.20 Implement preventive actions**

The defined preventive actions are implemented and the form TWE\_MP0105\_CorporateComplaintMngmt\_Fr\_Te is updated accordingly.

## **2.21 Check effectiveness of preventive actions**

The effectiveness of the preventive actions taken is checked. The form TWE\_MP0105\_CorporateComplaintMngmt\_Fr\_Te is updated accordingly.

## **2.22 Reporting and statistical analysis**

Eagle shall prepare an annual report and statistical evaluation about the of the complaints received and how they were handled, and this is then forwarded to the Group Human Resources Director.

## **2.23 Conduct yearly effectiveness check of the procedure**

The effectiveness of this procedure is reviewed annually in a meeting with the external service provider Eagle and adjusted if necessary.

The effectiveness of the procedure can be assessed on the basis of two key questions:

1. To what extent does the procedure enable and encourage relevant target groups to submit complaints before a violation has even occurred (in the case of the German Act on Corporate Due Diligence Obligations in Supply Chains)?
2. To what extent does the procedure help to prevent harm to whistleblowers or to implement appropriate corrective actions in the event of actual violations?

## 3 Definitions, documents, records

### 3.1 Terms

Term	Description
Direct supplier	A partner to a contract for the supply of goods or the provision of services whose supplies are necessary for the production of the enterprise's product or for the provision and use of the relevant service.  Source: The German Act on Corporate Due Diligence Obligations in Supply Chains (LkSG) of 16th July 2021
Indirect supplier	Any enterprise which is not a direct supplier and whose supplies are necessary for the production of the enterprise's product or for the provision and use of the relevant service.  Source: The German Act on Corporate Due Diligence Obligations in Supply Chains (LkSG) of 16th July 2021

Table 3.1: Terms

### 3.2 Abbreviations

Abbr.	Description	Function
<b>R</b>	Responsible	Those responsible for the task, who ensure that it is done according to the wishes of the accountable person. There is at least one role with a participation type of responsible, although others can be delegated to assist in the work required
<b>A</b>	Accountable	The one ultimately answerable for the correct and thorough completion of the deliverable or task, and the one who delegates the work to those responsible. In other words, an accountable must sign off (approve) work that responsible provides. There must be only one accountable specified for each task or deliverable.
<b>S</b>	Supportive	Resources allocated to responsible. Unlike consulted, who may provide input to the task, support help complete the task.
<b>I</b>	Informed	Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.
<b>C</b>	Consulted	Those whose opinions are sought, typically subject matter experts; and with whom there is two-way communication.
<b>D</b>	Decide	The Decide role is for the single person who ultimately is accountable for making the final decision, committing the group to action and ensuring the decision gets implemented.
<b>d</b>	Working Day	The value and the unit Working Day are considered to be the internal requirement for the maximum working time. If a customer expects a shorter working time, than the customer requirement applies.

Table 3.2: Abbreviations used in the header of the flow chart

Abbr.	Description
<b>CI</b>	Complaint issuer
<b>CP</b>	Contact person
<b>RP</b>	Responsible person
<b>PO</b>	Process owner
<b>ESP</b>	External service provider (Eagle Isp GmbH)

Table 3.3: Abbreviations used in the responsibility matrix of the flow chart

### 3.3 Records

### **3.4 Further applicable documents**

- TWE\_MP0105\_CorporateComplaintMngmt\_Fr\_Te\_En\_Rev0101

### **3.5 Appendices**

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