

Rules of Procedure relating to the *whistleblower proceedings* in the DEKRA Group

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1 Introduction and scope

DEKRA pursues a comprehensive concept to prevent economic crimes, in particular corruption, and to ensure that the companies of the DEKRA Group and its employees act in accordance with the law.

These rules of procedure serve to provide information on the whistleblowing procedure at DEKRA in accordance with the Supply Chain Duty of Care Act¹ and the Whistleblower Protection Act².

The report procedure allows persons to point out violations against

- the law,
- the DEKRA Compliance Guidelines,
- the DEKRA Standards (e. g. social standards/Declaration of Principles Human Rights),
- to human rights and environmental risks as well as to violations of human rights-related or environmental obligations that have arisen as a result of the economic activities of DEKRA or a direct supplier,
- as well as other compliance violations.

The information procedure is not available for general complaints, customer complaints or for warranty inquiries. **In these matters, please contact your DEKRA department or DEKRA Customer Care directly.**

¹ In concrete the German „Lieferkettensorgfaltspflichtengesetz = LkSG“.

² According to the German „Hinweisgeberschutzgesetz = HinSchG“.

2 Available report channels and general hints for reporting

A report can be submitted - confidentially and securely - through the following channels:

Report channel	Address
Whistleblower system	The following path will take you to our whistleblower system: Homepage (https://www.dekra.de/ or https://www.dekra.com/) > About DEKRA > Compliance > Report a compliance case
E-Mail	DEKRA Group Headquarters Germany/Central Compliance Office: via E-Mail to compliance-report@dekra.com
Letter	DEKRA Group Headquarters Germany/Central Compliance Office: DEKRA SE Compliance Office (HF6) Handwerkstraße 15, 70565 Stuttgart, Germany
Telephone	(Regional) Compliance Officer of a region/country within the DEKRA Group: Homepage (https://www.dekra.de/ or https://www.dekra.com/) > About DEKRA > Compliance > Organization In case of doubt, please contact the Chief Compliance Officer: +49-711-7861-1361 or +49-151-11790569.

Your report should contain the following information:

- What has happened? (Description of incident/event)
- Where did it occur? (Indicate the location or premises).
- What is the nature of the injury? (e.g. bribery, environmental damage)
- When did it happen or is it still happening? (Start of the incident, duration of the incident)
- Who and how many are affected (if possible, describing/estimating the extent of the damage)?
- Who is the (potential) perpetrator?
- Which regulation was violated?
- Has anyone already been informed? Are there any witnesses?
- In the opinion of the whistleblower, how can a solution be found?

A report can be submitted free of charge at any time via our whistleblowing system or by e-mail. If you decide to submit a report by telephone, please note the corresponding office hours and the prices of your telephone provider. If you submit a report by letter, please note the corresponding postage prices.

The whistleblower can choose whether regional or central processing is desired. Depending on the selection made, the report is submitted to the person responsible for the company or region. Violations of social standards and environmental and human rights are received and processed directly by Group headquarters. The responsible persons are independent in the performance of their duties and are sworn to secrecy. They are permitted to perform other tasks and duties in addition to their work. It is ensured that such tasks and duties do not lead to conflicts of interest.

The whistleblower has the choice of submitting his or her report anonymously or by providing his or her personal information. If an anonymous report is made, it is strongly recommended that a mailbox be created in our secure and certified whistleblower system. Queries are often necessary for the processing of reports. If these cannot be made, in many cases processing is not possible because important information is missing.

3 Procedure

No.	Procedure	Explanation
1	Submission report from whistleblower	The whistleblower will make a report via one of the above-mentioned channels.
2	Receipt by the recipient of the report	The receipt of a message appears at the message recipient.
3	Acknowledgement of receipt by the person responsible	The whistleblower will receive an acknowledgement of receipt with further information from the person responsible after seven days at the latest.
4	Plausibility check	The report is first subjected to a plausibility check, i.e. it is checked whether the report falls within the scope of the report procedure. In the event of a rejection, the whistleblower receives a brief explanation of the reasons for the rejection.
5	Determination of the aim of the investigation, the team and the procedure	The aim of the investigation, responsibilities and the further procedure are defined.
6	Investigative Actions	The facts of the case are investigated by the responsible compliance team, and queries are made to the whistleblower if necessary.
7	Documentation	Each step of the case processing is documented in the DEKRA whistleblower system as well as in the respective contract management system used. The confidentiality of the case processing is ensured.

3 Procedure

No.	Procedure	Explanation
8	Communication with the whistleblower	<p>If whistleblowers decide to remain anonymous, this is possible within the framework of the DEKRA whistleblower system. In this case, it is recommended that a specially protected mailbox be set up for further communication with the anonymous whistleblower. Within three months, the whistleblower receives feedback on planned or already taken follow-up measures as well as the reasons for these.</p> <p>Concerning human rights and environment-related risks as well as human rights or environment-related violations as defined by the LkSG: Discussion of the facts with the whistleblower.</p>
9	Information and reporting channels	<p>In the event of serious compliance cases, the Chief Compliance Officer of DEKRA SE is informed immediately. The Chief Compliance Officer decides on any further reporting channels.</p> <p>Regarding human rights and environment-related risks as well as human rights-related or environment-related violations as defined by the LkSG: Sustainability Team</p>
10	Measures	<p>Depending on the results of the investigation, the misconduct must be remedied, sanctions must be taken, or improvement/ remedial measures must be initiated.</p> <p>Regarding human rights and environment-related risks as well as human rights or environment-related violations as defined by the LkSG: A proposal for remedial action is developed and implemented with the whistleblower.</p>

4 Responsible recipient of information

The whistleblowing procedure is available centrally via the central compliance function as well as regionally.

The Sustainability team is responsible for human rights and environmental risks as well as human rights-related or environmental violations as defined by the LkSG.

5. Data protection notice and confidentiality

The whistleblower tool ensures a highly secure reporting channel where anonymous reports are also possible. You can find the detailed data protection information on the homepage of our whistleblower tool BKMS Introduction <https://www.bkms-system.com/>.

6. Protection for whistleblowers

DEKRA will not tolerate reprisals against whistleblowers. Reprisals are actions or omissions in connection with professional activities which are a reaction to a report or disclosure and as a result of which the whistleblower suffers or may suffer an unjustified disadvantage. Reprisals can be, for example: dismissal, warning, discrimination, intimidation, hostility. This also applies to threats and attempts of reprisals.

Effective protection against discrimination on the basis of a report is ensured by the fact that reports are processed in the strictest confidence by suitable specialist personnel. If DEKRA learns of retaliatory measures taken by other employees or suppliers, appropriate consequences will be determined on a case-by-case basis. Should the whistleblower subsequently become the victim of retaliation related to the report, we ask the whistleblower to contact us immediately.

Contact



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