



thyssenkrupp

### Part A: Information about the document

#### I. Purpose

This document manage the rules of conduct for suppliers at the plant.

#### II. Scope

This document of work and process instructions is valid at Dortmund, Lippstadt and Eberswalde facilities of thyssenkrupp rothe erde Germany GmbH.

#### III. Enclosed documents

- FV-TKP-10376 „Protocol of the instruction of contractors and suppliers - plant Lippstadt“
- FV-TKP-10377 „ Protocol of the instruction of contractors and suppliers - plant Dortmund“
- FV-TKP-10378 „ Protocol of the instruction of contractors and suppliers - plant Eberswalde“

#### IV. Attachments

The relevant content of the tk Occupational Safety and Health Management Manual especially chapter 10 Following tk – Guidelines:

- Working at Height
- Protection from Falling Objects
- Energy Control Power Lockout Program

#### I. Change

Effective documents are available in the Intranet. Printed version are only subject to a revision service if signed (see\* further down)

Distributor for use:	all departments at the plant in Lippstadt, Dortmund and Eberswalde
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Revision:	Description of change:	Datum:
00	The instruction replaces following instruction TKP 03/2011	09.01.2014
01	General revision	05.04.2016
02	Addition (marked by laterally line)	21.08.2017
03	Various changes (marked by laterally line)	25.10.2018
04	Long trousers in the shopfloor and Technical Rules for Hazardous Substances 554 added	14.10.2019
05	Written assignment to guide industrial trucks and use of recording and transmission equipment deleted; disposal of hazardous substances changed; prohibition of smoking and conditions for the usage of mobile phones added.	23.04.2020

\*If the mentioned below fields are filled in and the original document is signed, than this document shall be controlled through the signer. Otherwise the current document is available only in electronic form. (for further informatin see the instruction Z-VA-QM-101).

Name	Signum
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#### Creation/Approval:

Aktivität:	Department:	Name:	Date:	Signature:
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## Part B: Description

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### 1. Forward

Thyssenkrupp rothe erde Germany GmbH has an integrated management system regulating quality, environmental protection and safety (REIM = Rothe Erde integrated management system). The currently applicable management policy is attached to this document. All persons working in any way for, with or on behalf of thyssenkrupp rothe erde Germany GmbH are called upon to take note of and, via their thinking and actions, give their support to this management policy.

The contractor/supplier’s management shall ensure that all of their employees who might possibly have any significant impact in terms of safety and the environment are qualified by virtue of training and/or experience to perform the particular task with which they have been entrusted.

The currently applicable rules and regulations on environmental protection, equipment and occupational safety as well as energy are to be observed and complied with in all instances.



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Process instruction Z-VA-TKP-129

## Rules of conduct for contractors /suppliers at the plant

public

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Valid from: 23.04.2020

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## 2. Scope

These “Rules of conduct for suppliers” constitute an integral part of the contract thyssenkrupp Rothe Erde has concluded with you, and as such are binding.

Please contact the responsible coordinator/representative of thyssenkrupp rothe erde Germany GmbH (in following RE coordinator/representative) to obtain information on the regulations to which your work will be subject. The work in question may not be commenced without a prior safety briefing given by the contractor and an instruction given by RE coordinator/representative, the implementation of which is to be documented by signature.

This applies in particular as regards observation of and compliance with the regulations concerning occupational safety, fire and environmental protection. In the event that these statutory regulations are put into specific terms by official measures (permits, ordinances, etc.), you are likewise obligated to comply with them where applicable.

You are obligated to observe our plant rules and regulations on occupational safety, fire and environmental protection (alarm plan, etc.) and to monitor and ensure your deployed personnel's compliance with them.

The German Occupational Health and Safety Act requires that you take on-the-job accident prevention measures that correspond with the regulations on accident prevention and in other respects with the generally acknowledged rules on occupational safety and health. If requirements are specified in other statutory regulations, in particular health and safety regulations, these regulations shall remain unaffected.

All work has been done energy- and resource-efficient.

## 3. Risk assessment

A risk assessment shall be carried out and drawn up in cooperation with the RE coordinator/representative before commencement of the contractual work, for which purpose the item "Measures for reducing mutual hazard" of the protocol sheet "Instruction of supplier" shall be filled out. The base of the risk assessment could be for example the German Work Safety Act (ArbSchG), the German Ordinance on Hazardous Substances (GefStoffV), the German Ordinance on Biological Substances (BioStoffV) and the Industrial Safty Regulation (BetrSichV).

## 4. Alarm regulations

First-aid measures shall be initiated immediately in the event of accidents. In the case of serious accidents, immediate contact shall be made via the internal telephone network under tel. no. 112 (Eberswalde production facility: 0-112) to call for an ambulance and/or emergency physician; when doing so, provide information about the accident and the precise location.

In the event of fire, make immediate use of the handheld fire extinguishers. If necessary, use the internal telephone network, tel. no. 112 (Eberswalde production facility: 0-112) to provide information on the incident and precise location to the fire department.

If a warning signal is given (siren, horn, announcement via megaphone), for example in the event of fire, all personnel shall vacate the building immediately via the nearest emergency escape routes and emergency exits, and head for the specified muster stations. Information in this respect can be obtained from the emergency escape route maps. People in the neighborhood shall be warned accordingly, and help given to injured or disabled persons.



## 5. The following activities are prohibited

- It is strictly prohibited to enter the plant premises under the influence of alcoholic beverages, intoxicating substances or medical drugs with similar effects, to bring such substances onto the premises or to consume them there.
- The local regulation regarding smoking has to be respected.
- It is prohibited to make drawings of plant facilities and working methods. This includes the taking of photographs and making films. In addition, suppliers' personnel shall maintain confidentiality towards third parties in connection with the said plant facilities and working methods; this also applies after completion of their work. In other respects we draw attention to the conditions regarding secrecy as set down in your contract with thyssenkrupp rothe erde Germany GmbH.
- Mobile phones may only be used outside the shop floor.
- It is prohibited to use mobile phones or other non-explosion-proof electrical equipment/ devices in potentially explosive areas of the premises. Potentially explosive zones are indicated by means of signs.
- Hazardous work is defined as work involving elevated risk arising from the working method, the type of activity, the materials concerned, or from the environment because it is not possible to take adequate protective measures.  
Hazardous work within the meaning of the German employers' liability insurance association regulations (DGUV Regel 100-001) shall in all cases be coordinated with the respective RE coordinator/representative. The following types of work require a written permit:
  - Work in containers, vessels and confined spaces
  - Work involving an ignition hazard (welding, flame-cutting, etc.) → hot work permission certificate
  - Work in high-voltage areas
- Safety devices/facilities shall not be removed or deactivated.
- Passing, working, etc. under lifted goods, material, etc. is strictly forbidden.

## 6. Accident prevention

- Suppliers'/contractors' personnel shall bring with them and wear the requisite protective attire (e.g. safety footwear, protective gloves, safety goggles, falling harness device etc.).
- Suitable long trousers must always be worn in the shop floor.
- Suppliers'/contractors' personnel shall bring with them all materials and equipment required. thyssenkrupp rothe erde Germany GmbH will not provide any materials or equipment (e.g. tools, ladders, etc.) except, when available, cranes, lift trucks and lifting platforms.
  - ➔ The use of cranes, lift trucks and lifting platforms is possible if applied for and arranged beforehand. Suppliers'/contractors' personnel wishing to use such equipment shall present valid certification of their qualification to do so, and shall be given appropriate instruction on the spot by the RE coordinator/representative. However, this instruction does not eliminate the need to present said certification of qualification.
  - ➔ If machines are required, which are powered with combustion engines the Technical Rules for Hazardous Substances 554 (TRGS 554) needs to be observed and applied.

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at the plant**

- All equipment and materials needed for executing the contractual work shall meet the currently applicable rules and regulations in full and shall only be used as prescribed. In particular, all movable equipment to be used in potentially explosive areas shall comply with the applicable regulations on explosion protection.

## 7. Signing in

### Lippstadt / Dortmund:

The supplier's/contractor's personnel shall register their arrival with the gatekeeper. The gatekeeper will then notify the authorized person or the RE coordinator/representative. If needed cars can be parked on defined places. For this, a parking ticket is issued by the gatekeeper. For the purposes of ensuring that it is at all times known who is on the plant premises in case of a serious incident, the gatekeeper issues a visitor's pass and/or, if necessary, a time record card. The supplier's/contractor's personnel shall document their entry onto and departure from the plant premises each time by signing in and out with the visitor's pass or, as applicable, by using the time record device at the gate. The time record card shall be given back to thyssenkrupp rothe erde Germany GmbH on completion of the contractual work.



### Eberswalde:

The supplier's/contractor's personnel shall first register themselves with the RE coordinator/representative before commencing the contractual work; they will then be provided with a card for the electronic time record system, and shall then sign in and out every day. On completion of the contractual work, the supplier's/contractor's personnel shall sign off accordingly with the RE coordinator/representative or supervisor and hand back the time record card.

## 8. Instruction and behaviour

- The plant premises may only be entered via the official plant entrance.
- Before commencing the contractual work, the supplier/contractor or its coordinator shall give all of the personnel involved the requisite instruction in line with these Rules of Conduct for Suppliers and provide thyssenkrupp rothe erde Germany GmbH with confirmation thereof.
- Vehicles shall be parked in the appropriately assigned parking spaces. Brief loading and unloading on the building site shall only be permitted subject to arrangement with the coordinator of thyssenkrupp rothe erde Germany GmbH.
- A limited amount of changing and washing facilities are available. At the Lippstadt plant, locker keys can, subject to prior arrangement, be obtained from the Plant Maintenance foreman's office. At the Dortmund plant, locker keys can be obtained in the warehouse, subject to payment of a deposit. Personnel performing work at the Eberswalde production facility shall bring padlocks themselves; the lockers are allocated by the foreman.
- The responsible supplier/contractor will be provided with information according to the protocol of the instruction on the safety facilities such as telephone, fire extinguishers, fire detectors, first-aid boxes, etc., by the assigned RE coordinator/representative.
- The workplaces and building sites shall be properly protected at all times. Materials for cordoning them off shall be brought by the supplier's/contractor's personnel. Where short-term work is concerned, an additional employee shall be provided to ensure that the workplace and/or building site in question are safeguarded.



- The supplier's/contractor's personnel shall keep the workplaces and building sites clean at all times. The RE coordinator/representative or the person accordingly authorized by the customer is the point of contact for questions and matters concerning the disposal of scrap and waste.
- Any and all doors, windows and gates opened by the supplier's/contractor's personnel shall be closed again on completion of the work in question. Any keys which might be necessary can be obtained from the gatekeeper.
- ➔ As applicable, lighting shall be switched off on completion of the work in question. The used tools have to be efficient and on the state of the art. Pay attention to energy-conscious behavior.
- The supplier's/contractor's personnel shall take care of tools and materials themselves. thyssenkrupp rothe erde Germany GmbH reserves the right to carry out appropriate checks in the interests of protecting personal and company property.
- The supplier's/contractor's personnel are only allowed to go to those places on the plant premises which are relevant to the fulfillment of the contractual work.
- Safety shoes are mandated if you are leaving the marked footpaths.
- Any unauthorized operation, use, etc. of machinery and plant is prohibited.
- Substances of concern: Any and all substances of concern brought onto the plant premises shall be accompanied by the corresponding safety data sheets or usage instructions. Any use of substances of concern involving the following risks shall be notified to the RE coordinator/representative beforehand and requires the specific consent of thyssenkrupp rothe erde Germany GmbH:
  - Relevant to annex 1 of the Ordinance on facilities for handling substances that are hazardous to water (AwSV)
    - Water hazard class "3" (highly hazardous to water)
  - Relevant to the GHS ordinance (EG- Nr. 1272/2008)
    -  GHS06 = acute toxicity, Signal word: danger or
    -  GHS08 = carcinogenicity, signal word: danger
    - EUH029= Contact with water liberates toxic gas; EUH031= Contact with acids liberates toxic gas; EUH032= Contact with acid liberates very toxic gas; EUH070= Toxic in contact with eyes
    - H300 = danger of death if swallowed, H301 = toxic if swallowed, H310 = danger of death in case of skin contact, H311 = toxic in case of skin contact, H330 = danger of death if inhaled, H331 = toxic if inhaled, H350 = may cause cancer, H351 = suspected of causing cancer; H360= May damage fertility or harm to the unborn child; H362= Can cause harm to breastfed babies
- Materials may only be brought onto, transferred and processed on the premises in the quantities necessary to the fulfillment of the contractual work.
- In the event that substances of concern are to be stored/temporarily stored on the premises of thyssenkrupp rothe erde Germany GmbH, the quantities thereof shall be notified to the RE coordinator/representative who will then assign a proper place of storage to the third-party company.



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- Residues of the hazardous materials and their packaging shall be disposed of properly after consultation with the RE coordinator/representative or with the company representative for waste on completion of the contractual work.
- The following safety measures shall be performed by appropriately qualified personnel before any form of work is started in the danger zones of machines, cranes or electrical equipment:
  - Safety unlock
  - "Secure against restarting (lock)" → Lockout-Tagoutmade by professionals in collaboration by employees TW or WE.
- Please notify the RE coordinator/representative or the person correspondingly authorized by thyssenkrupp rothe erde Germany GmbH in case of difficulties or if there are any queries.
- On completion of the contractual work, the co RE coordinator/representative is to be informed accordingly. The result of the work is to be documented on the forms provided by the contractor. These forms shall be undersigned by the RE coordinator/representative.
- Weekend work shall be coordinated with the RE coordinator/representative.
- The RE coordinator/representative shall be promptly informed in the event of any disruption or potential hazard arising during the contractual work.
- Any form of modification to thyssenkrupp rothe erde Germany GmbH facilities shall require the RE coordinator/representative prior consents.
- The contractual work is to be stopped immediately in the event of any risk to health or risk of severe or fatal injury to the supplier's/contractor's personnel or to our employees. Work may only then be resumed when such risk has been eliminated with the assistance of the responsible supervisory personnel.
- Protective measures such as the following, for example, shall be taken if it is not possible to avoid any mutual hazard, for instance in work on/at workplaces positioned on top of or alongside each other:
  - Cordoning off the danger zones from each other, e.g. by means of protective scaffolding
  - Staggered working times in order to prevent overlaps
  - Erection of barriers and marking of the danger zones, removal of all endangered people from those zones
  - Make employees aware of the need to exercise particular care and caution.
- It is absolutely essential that all personnel involved in flame-cutting, grinding and welding work have a personal permit to do so. Work of this nature shall be coordinated with the RE coordinator/representative who will then issue the corresponding personal permit with hot work permission certificate. The fire safety regulations shall be observed and complied with at all times.
- Working at height:
  - Workplaces or traffic routes need to be secured against falling risks. For working at height, appropriate protection measures need to be in place. (Scaffoldings, aerial work platforms, safety meshes, PPE)
  - Ladders may only be used for climbing up or down for construction or maintenance work. They may definitely not be used as constant traffic routes or workplaces.
  - Scaffolding must only be built, dismantled or modified by suitable and trained personnel under the supervision of a suitably qualified person. Before being used the scaffolding must be inspected by a qualified person and authorized for use in written form.

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## 9. Comments and remarks

- The regulations set down by the German Wood and Metal Trade Association (BGHM) apply alongside the regulations specified by the relevant trade association of the supplier/contractor. Also applicable are the German Road Traffic Regulations (StVO) and all other relevant laws and regulations.
- Any infringement of these Rules of Conduct will be taken account of in our supplier assessment; this can lead to a negative assessment and thus to a blocking or exclusion of the supplier's/service provider's services in the future.
- Serious violations against safety rules, endangerment of others or gross negligence lead to immediate sanctions from blacklisting up to contract withdrawal. Serious violations are:
  - Manipulation of safety devices
  - Working at height without proper safety measures
  - Working at machines without following the Lockout-Tagout regulations
  - Working under the influence of alcohol or drugs
  - Working under lifted material, parts. etc. without adequate safety measures
  - Misusage or damage of first aid or emergency equipment

## 10. Documentation

Before start of work, the RE coordinator/representative will fill out the protocol sheet "Instruction of contractors and suppliers by RE coordinators" in cooperation with the supplier's respectively authorized person. The original document has to be archived by the RE coordinator at least 1 year. The supplier receives a copy.