

Act on Corporate Due Diligence Obligations in Supply Chains (LkSG)

This document is the procedural rules of Sparkasse KölnBonn for handling complaints according to the LkSG. The procedural rules describe the complaint procedure established by Sparkasse KölnBonn for this purpose.

The complaint procedure enables persons who are directly affected by economic activities in the own business area of Sparkasse KölnBonn or by economic activities of a direct or indirect suppliers of Sparkasse KölnBonn or who may be injured in a protected legal position, as well as persons who have knowledge of the possible violation of a protected legal position or an environmental obligation, to point out human rights and environmental risks or violations (hereinafter "pointing out person").

1. reporting channel for a "notification to the LkSG" on the website of the Sparkasse KölnBonn

The Sparkasse KölnBonn has set up a "Button" "Notification to the LkSG" on its website for a corresponding notification (www.sparkasse-koelnbonn.de/lieferkette).

If the person giving the hint clicks on the button, he/she can provide the relevant information about his/her complaint in text form. This text will automatically be sent by e-mail to the "Complaints Officer".

2. complaints officer

The "complaints officer" is the exclusive contact person for the person providing the information during the entire complaints procedure.

The "complaints officer" guarantees impartiality and acts independently and without instructions within the scope of his/her function.

3. procedure of the complaint procedure

a) acknowledgement of the tip-off

The person providing the tip-off will receive an e-mail confirmation of the receipt of the tip-off within 5 working days.

b) clarification of facts and statement

The complaints officer will determine if the reported information falls within the scope of the complaint procedure according to LkSG.

(1) rejection of the complaint

If the complaint does not fall within the scope of the grievance procedure, the person making the referral will be notified within two weeks of receipt of the complaint.

As a rule, a statement of the reasons for the rejection is sent to the person making the referral. An explanation of the reason for which the Sparkasse KölnBonn considers the complaint of the person providing the information to be unfounded is not provided if this is precluded for legal, regulatory or factual reasons of the complaints office.

(2) follow-up of the complaint

If the complaint falls within the scope of the complaints procedure, the complaints officer shall clarify the facts of the case and, as a rule, issue a statement to the person providing the information within one month.

If the investigation of the facts reveals that the information provided by the person making the allegation is not sufficient or not relevant for further clarification of the complaint, the complaints officer shall inform the person making the allegation of this and request further information.

If necessary, the complaint officer will discuss the facts with the person making the referral with the goal of gaining a better understanding of the facts.

c) Possible violation of law

If the investigation of the complaint reveals that the violation of a LkSG-related duty appears possible, imminent or has occurred in Sparkasse KölnBonn's own business area or at a direct or indirect supplier, Sparkasse KölnBonn will initiate appropriate preventive and/or remedial measures. The aim of these measures is to avoid a violation of protected legal positions or to minimize or remedy violations of protected legal positions that have already occurred.

d) Review of effectiveness and adjustment

The effectiveness of the complaints procedure is reviewed once a year and on an ad hoc basis. A corresponding cause exists if Sparkasse KölnBonn has to expect a significantly changed risk situation in its own business area or at the direct supplier, for example due to the introduction of new products, projects or a new business area. If necessary, the measures are updated within a reasonable period of time.

4. Documentation

The respective complaint process is documented and retained for a period of seven years.

5. data protection and confidentiality

Sparkasse KölnBonn ensures through appropriate personnel, organizational and technical measures that the confidentiality of the identity of whistleblowers is maintained for incoming complaints and tips and that effective protection against disadvantage or punishment due to a complaint is guaranteed. The persons entrusted with the complaints procedure are obliged to maintain confidentiality and to comply with data protection.

6. costs

The procedure is free of charge for the the pointing out person.