

We care

Occupational Safety and Health Management Manual

Issue 2022



thyssenkrupp

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because we care

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Zero compromise
on safety and health.
This is our value.
Because we care.

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Foreword

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Those working at thyssenkrupp should be safe and stay healthy. No matter where, no matter when; period. We do not intend to compromise when it comes to occupational safety and health. This is an outstanding value for us, an integral part of our corporate culture. That is why we strive to create working conditions that bring life to our aspirations. We work every single day to ensure that our activities are safe and that they do not affect our well-being, neither physically nor mentally. To this end, we shall identify weak points in occupational safety and health hazards; thus, consistently eliminating unsafe conditions and actions. We shall systematically discuss how we can improve the situation; moreover, we need to implement ideas quickly, and monitor their impact and effects.

This management manual "Occupational Safety and Health" is a guide to how occupational safety and health management is systematically implemented in our daily processes according to the "Plan – Do – Check – Act" approach. In doing so, we shall observe and strictly adhere to legal regulations and rules. The same applies to the Group-wide minimum requirements contained in this manual. They ensure an appropriate level of safety and health – worldwide. Please use this assistance.

Yet beyond rules and processes, an attentive and progressive safety and health culture can only develop within thyssenkrupp if you as a manager uncompromisingly support our goals and make them tangible in the daily work of your teams. Be a responsible role model, communicate clearly and unambiguously, be mindful in the workplace. Only if you show that you care, will your teams do the same.

Safety and health are values in themselves. But it is good to know, from personal experience, that safety and health management go hand in hand with economic success. Consequently, we have a common commitment – and a recipe for success: There are to be no compromises in occupational safety and health. That is our value. Because we care.

Essen, November 2021

thyssenkrupp AG



Martina Merz
Chairwoman of the Executive Board
and Chief Executive Officer (CEO)



Oliver Burkhard
Member of the Executive Board and
Chief Human Resources Officer (CHRO)



Dr. Klaus Keysberg
Member of the Executive Board and
Chief Financial Officer (CFO)

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Contents

0	General remarks	11	6	Organization	27	8.2.2	Contractors	38
0.1	Scope of this manual	12	6.1	Functions	27	8.2.3	Customers and the general public	38
0.2	Addressees and scope	12	6.1.1	Legal entity boards/managers, other executives	27	9	Documented information and its control	39
0.3	Relationship to national law	12	6.1.2	Employees	28	10	Operational implementation	42
0.4	Period of validity	12	6.1.3	Safety and health specialists	29	10.1	Tools, devices, machines, and equipment	42
1	Context of the company	13	6.1.4	Company physicians	29	10.2	Industrial trucks and motor vehicles	44
2	Occupational Safety and Health Policy	15	6.1.5	Health managers	30	10.3	Hazardous substances	45
			6.1.6	Safety coordinators	30	10.4	Biological hazards	47
			6.1.7	Radiation protection coordinators	30	10.5	Radiation	48
			6.1.8	Laser protection coordinators	30	10.5.1	Ionizing radiation	48
			6.1.9	Employee representatives	30	10.5.2	Laser radiation	49
			6.2	Group organization	31	10.5.3	Electromagnetic fields (EMF)	50
			6.2.1	Committee Occupational Safety and Health at Corporate level	31	10.6	Fall hazard	50
			6.2.2	Council Occupational Safety and Health at Corporate level	31	10.7	Falling objects	52
			6.2.3	Committees/Councils Occupational Safety and Health in the downstream levels	32	10.8	Tanks and confined spaces	53
			6.2.4	Councils Occupational Safety and Health in the companies	33	10.9	Hot work	54
			6.2.5	Heads of Occupational Safety and Health from Corporate and the Business Segments	33	10.10	Physical stress	55
3	Workplace risk assessment	17				10.11	Mental workload	56
3.1	Implementation	18				10.12	Design of the work environment	57
3.2	Process steps	18				10.12.1	Traffic routes	57
3.3	Documentation	19				10.12.2	Lighting	58
3.4	Brief risk assessment before starting work	19				10.12.3	Climate and air quality	58
4	Compliance with statutory regulations and other requirements	20	7	Competence and awareness	34	10.12.4	Noise	59
			8	Communication	37	10.12.5	Office work	60
			8.1	Internal communication	37	10.13	Individual health	61
			8.2	External communication	38	10.13.1	Preventative occupational medicine	61
5	Objectives and measures	22	8.2.1	Suppliers	38	10.13.2	Medical aptitude tests	62
						10.13.3	Medical travel advice	63

Plan 3–5

Do 6–11

Do

EXCERPT

Contents

10.13.4	Promotion of individual health behavior	64	12	Effectiveness monitoring	75		
10.13.5	Employee Assistance Program (EAP)	65	13	Inspections	77		
10.14	Reintegration management	65	14	Internal audits	79		
10.15	Personal protective equipment	66	14.1	Planning and preparation	79		
10.16	Work permit procedures for activities with specific hazards	67	14.2	Execution	80		
10.17	Contractor management	68	14.3	Evaluation, reports, and corrective measures	80		
11	Emergency preparedness and response	70	14.4	Auditor qualification	80		
11.1	First aid	71	15	Investigation of incidents	81		
11.2	Building evacuation	71	15.1	Reporting of serious and fatal accidents	82		
11.3	Escape and rescue routes	71	15.2	Accident recording in PERSIS	83		
11.4	Preventive organizational fire protection	72	15.3	Recording of near misses	83		
11.5	Pandemic contingency planning	72	15.4	High Potential Incidents (HPIs)	83		
			15.5	Accident investigation	83		
			15.6	Accident statistics	83		
			16	Management review	84	17	Corrective process and continual improvement 87

Do

Check 12–16

Act 17

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General remarks

We at thyssenkrupp give top priority to safety and health at work.

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Everyone should be able to perform their work well and return home safe and sound, irrespective of whether they are a board member, manager, other executive or supervisor, specialist, or employed in another function. We therefore jointly pursue a forward-looking safety and health culture.

Health in this context is not merely the absence of disease – it is a state of physical, mental, and social well-being. Occupational safety and health management at thyssenkrupp therefore adopts a comprehensive approach that comprises three areas:

Leadership behavior and social interaction:

Measures and programs for executives and supervisors, specialists, and employees to strengthen our occupational safety and health culture and (role model) behavior in line with the values set out in the mission statement.

Safety and health at work:

Ensuring an appropriate occupational safety and health management system on the basis of internal minimum standards, statutory requirements, and requirements from the *context of the company* (see chapter 1 “Context of the company”).

Personal health:

Personal advice, work-related medical advice and support, screening programs to detect health risks at an early stage, and offers to promote good personal safety and health behavior.

Against this background, we consider thyssenkrupp's occupational safety and health management system a continual improvement process aimed at

- avoiding accidents by preventive measures,
- avoiding work-related illnesses due to physical and psychological stresses caused by work,
- ensuring safe workflows and trouble-free operations,
- establishing working and organizational conditions, leadership behavior, and social interaction that promote good health,
- building awareness, motivation, and abilities to promote individual health,
- enabling the inclusion of employees with restricted capabilities as much as possible at thyssenkrupp.

The improvement process is based on an orderly interaction of individual processes that are coordinated with each other and thus interrelate. It is therefore important that when changes are made to an individual process, it is always determined whether these changes will have an impact on other processes.

This improvement process can only be successful when it is supported by all functional levels within the company. Each company included within the scope of this manual shall therefore give its stakeholders the opportunity to participate actively. This applies in particular to employees without management functions and/or their representatives. A distinction is made between consultation (consultation before decisions are taken) and participation (involvement in decision-making). Appendix A 0 “Consultation and participation of employees” gives an overview of the issues requiring consultation or participation.

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0.1 Scope of this manual

This manual supplements, as an Operating Instruction, the Group Regulation Occupational Safety and Health and contributes to:

- Creating a consistent Group-wide understanding of occupational safety and health management
- Defining responsibilities, duties, and minimum standards in occupational safety and health management (to supplement the existing *statutory regulations*)
- Creating an appropriate organizational body for occupational safety and health management

0.2 Addressees and scope

This Group Operating Instruction applies to all companies, employees, managers, and Executive Board members of the thyssenkrupp Group, the regulation-relevant shareholdings, and third parties included in section 2 of the Group Regulation "Document Architecture".

0.3 Relationship to national law

Mandatory *statutory regulations* take precedence over this manual. If stricter statutory regulations and other requirements exist in individual cases, they shall be observed (see chapter 4 "Compliance with *statutory regulations* and other requirements"). As far as the thyssenkrupp locations in the USA are concerned, the manual explicitly serves the purpose of information and consulting only.

0.4 Period of validity

This manual shall apply indefinitely from January 1, 2022.

"A prerequisite for any successful design of the occupational safety and health management is to know, and take into account, the relevant influencing factors, requirements, and expectations."

A photograph of three people in a modern office environment. On the left, a man with a beard and a blue hoodie looks towards the center. In the middle, a woman with blonde hair, wearing a white t-shirt, holds and points to a large sheet of paper, likely architectural plans. On the right, a man in a blue button-down shirt looks at the plans. The background is blurred, showing office furniture and plants. A blue rectangular box is overlaid on the left side of the image, containing the word 'Plan' in white. A white rectangular box with a thin border is overlaid on the top center, containing the word 'EXCERPT' in a light blue font.

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Workplace risk assessment

Risk assessment is the central element of operative implementation of occupational safety and health management.

It is the basis of effective planning and hence an indispensable prerequisite for continual improvement. This applies for the reduction of accident and health-related risks just as it does for *health promotion*. It is only possible for effective preventative measures to be defined and implemented on the basis of a thorough assessment of the risks and the resources available for countering them.

Put another way: Without a risk assessment, accident and health risks can be overlooked or miscalculated. This may lead to lost *opportunities*, which could have led to improved working conditions – and also safety and health management in general. A systematic approach therefore contributes decisively to preventing occupational injuries and illnesses and promoting the personal health, abilities, and motivation of everyone involved.

For each company included within the scope of this manual, risk assessments shall therefore be conducted as set out in the following sections.

Definition of terms

Opportunities are chances to improve safety and health at work.

A *procedure* is a defined way of carrying out an activity or process. This includes determining: Who – does what – with whom – how/with?

- ✓ Risk assessment procedure defined?
- ✓ Risk assessment conducted and documented?
- ✓ All workplaces included?
- ✓ Regular check and update ensured?

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3.1 Implementation

Depending on the type of operational situation and the activities performed, risk assessments may relate to:

- The work area
- A specific machine or system
- A specific activity
- A certain person or specific groups of people (e.g., adolescents, pregnant and breastfeeding women, individuals with disabilities)

Potential risks are determined and assessed taking into account so-called hazard and stress factors. Appendix 3.1 a contains an overview of all conceivable hazard and stress factors relevant for safety and health at work.

The risks of an accident shall be assessed on the basis of a risk matrix, for example, as depicted in Appendix 3.1 b. *Opportunities* should be assessed in terms of their potential to improve safety and health at work (e.g., high/medium/low).

Risk assessments shall be performed for all jobs as a matter of principle. The risk assessment shall take into account all individuals who could gain access to the areas with risks. It is also necessary to consider hazards arising from third parties (e.g., neighboring companies) over which the organization has no control. The risk assessment shall be checked at regular intervals to see if they are up to date and, if necessary, adapted.

A check shall be made primarily:

- In the course of procuring new tools, devices, machines, or equipment, raw or auxiliary materials
- When new work processes are introduced or existing ones are substantially modified
- When significant changes are made to the operational organization or the relevant processes
- In the course of the introduction of new products and services
- When changes are made to the personnel structure or deployment of personnel with other individual prerequisites than originally provided for
- In the event of outage or decommissioning of relevant operational facilities
- On certain grounds that suggest a check, for example in the case of incidents or significantly newly gained knowledge of reference occupational safety and health management

The relevant company parties shall review the consequences of the changes and any need to adjust the risk assessment.

3.2 Process steps

Practical implementation of a safety and health risk assessment normally encompasses the following process steps:

- Definition of the organizational structure, work areas, and activities
- Identification of hazards
- Assessment of risks and *opportunities*
- Definition of measures
- Execution/implementation of the measures
- Check of the effectiveness of the measures
- Regular check and update of the risk assessment

When defining measures, attention shall be paid to the hierarchy of controls. The primary objective is the complete elimination of hazards, or by minimizing, at source, the use of dangerous processes, working equipment, and/or working materials. When this is not possible, technical and organizational safety measures have priority over administrative safety measures (e.g., trainings) or *personal protective equipment*.

The system used for identifying and assessing risks, defining measures, performing effectiveness checks and regular *inspections* is also to be used for *health promotion* measures. With this, the characteristic fields are differentiated, which include nutrition, exercise, stress management, and addiction prevention.

The definition of measures always includes information on the respective deadlines, resources, and responsibilities (see chapter 5 "Objectives and measures").

“When defining measures, attention shall be paid to the hierarchy of controls.”

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3.3 Documentation

The results of the safety and health risk assessment shall be documented. The documentation encompasses at least the identified hazards, the assessment of the risks and *opportunities*, and the measures derived from the assessment, and the control of their effectiveness.

The relevant supervisors are responsible for conducting and documenting the risk assessment. The employees participate. Safety and health specialists, company physicians, and other specialists will give support as part of their consultancy assignment.

3.4 Brief risk assessment before starting work

In addition to the above, each and every employee should be encouraged and obliged to briefly assess the possible risks involved in the work ahead. This brief assessment supplements the formal risk assessment and serves the purpose of preventing accidents and damage to health resulting from thoughtless action.

Employees shall consciously take the necessary protective measures and, where applicable, consult and coordinate with other personnel involved. At thyssenkrupp the we check card was developed for this purpose, with seven simple questions as guide to this end.



We check together for more safety

Whatever you do – do this first.
Before each task answer these questions:

- What are you planning to do?
- What am I doing, what are the others doing?
- What is different today or unusual?
- What can go wrong?
- What can I do to prevent it going wrong?
- What can the others do?
- Who can I ask if there are difficulties?

Everything complete? Let's go!

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Organization

A functional organization is of crucial importance for the legal certainty and effectiveness of occupational safety and health management.

With regard to the tasks, duties, and responsibilities of the various parties, the distinction shall be made between:

- The respective boards (executive or management board) or the respective managers
- Executives who are not board members or managers and supervisors
- Employees
- Employee representatives including representatives of the severely disabled or youth representatives (where available)

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The occupational safety and health organization also includes supporting functions (OSH experts), especially:

- Safety and health specialists
- Company physicians
- Health managers
- Safety coordinators (in Germany)

as well as coordinators who are needed in the case of certain hazard sources such as, for example, *radiation* or laser protection coordinators. The necessary assignments result from the respective statutory regulations and other requirements.

In general, the duties of OSH experts are to be performed by Group employees. The transfer of these tasks to a service provider from outside the Group when creating new contracts is only permitted in exceptional cases. Exceptions shall be approved by the Business Segment Head of OSH in consultation with Corporate Occupational Safety and Health. Projects and construction site activities are exempted from this requirement.

When parts of the company's own functions or processes are contracted out to external service providers for the purpose of outsourcing, it must be ensured contractually that the legal regulations and other requirements relevant to the company continue to be met (see chapter 4 "Compliance with *statutory regulations* and other requirements") and that there are no negative effects on the company's own safety and health management.

Finally, where appropriate, the employees shall also be involved. They cooperate on occupational safety and health management through consultation and participation. The employee representatives participate within the scope of their statutory duties (see Appendix O "Consultation and participation of employees").

- ✓ Functional organizational and operational structures created for the company?
- ✓ Tasks, responsibilities, and authorizations of all parties clearly defined and communicated?
- ✓ Management tasks and obligations defined and delegated to executives and supervisors in writing?
- ✓ Sufficient resources provided?
- ✓ Advice from safety and health specialists and company physicians ensured?
- ✓ Specialists available to support the company health management system?
- ✓ Safety/radiation protection/laser protection coordinators appointed (where necessary)?

6.1 Functions

6.1.1 Legal entity boards/managers, other executives

The respective boards (executive or management board) or the respective managers shall ensure that the occupational safety and health management system is implemented and maintained in accordance with the requirements of the OSH Act and the relevant statutory regulations and other requirements.

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Stop unsafe work!

You have the responsibility and the authority to stop unsafe actions and conditions.

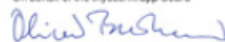
Stop unsafe actions and conditions immediately. Talk to your colleagues and seek solutions together.

If in doubt, contact your supervisor or the Health and Safety department.

If no one listens, you have the right to escalate the issue within thyssenkrupp.

You do not need to worry about any negative consequences if you really make use of the we stop-card. That is my promise to you!

On behalf of the thyssenkrupp Board



Oliver Burkhard

Member of the Executive Board and
Chief Human Resources Officer (CHRO) thyssenkrupp AG

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6.1.3 Safety and health specialists

The companies included within the scope of this manual shall guarantee appropriate consultancy by safety and health specialists.

It is the task of these specialists together with company physicians (see section 6.1.4 "Company physicians") to advise and support legal entity boards, managers, all further executives, supervisors, and employees in all matters of safety

and health, including the creation of employee-friendly working conditions. This includes, for example:

- Advice for the planning of the plant facilities, and the design and maintenance of industrial facilities
- Advice regarding the procurement of tools and supplies for work and *personal protective equipment*, working materials, and the implementation of working processes
- Advice on designing workplaces and work processes, and the working environment
- Risk assessment of the working conditions
- Monitoring of safety and health measures
- Incident investigation

Due to their advisory function, safety and health specialists are not allowed to be incorporated in the line organization of the company. As a staff function they should be answerable to the senior company or site management. They are neither obliged to take directives nor react to external influence while performing their duties or utilizing their specialist safety skills. Occupational safety and health specialists are obliged to report regularly, at least annually, on the performance of the duties assigned to them.

6.1.4 Company physicians

The companies included within the scope of this manual shall ensure appropriate consultation by suitable physicians – in Germany, the appointed company physicians.

It is the task of the company physicians in cooperation with safety and health specialists (see section 6.1.3 "Safety and health specialists") to advise and support legal entity boards, managers, all further executives, supervisors and employees in all matters of safety and health, including the creation of employee-friendly working conditions.

This includes, for example:

- Advice for the planning of the plant facilities, and the design and maintenance of industrial facilities
- Advice regarding the procurement of tools and supplies for work and *personal protective equipment*, working materials, and the implementation of working processes
- Advice on how to design workplaces and processes, and the working environment
- Advice in matters concerning occupational physiology and psychology
- Assessment of the working conditions
- Carrying out medical investigations and assessing the results thereof
- Individual medical advice

The medical investigations and consultancy shall be carried out by appropriately qualified physicians who are acquainted with the particular hazards at the workplace. As a rule they are specialists in occupational medicine.

Due to their advisory function, company physicians are not allowed to be incorporated into the line organization of the company. As a staff function they should be answerable to the senior company or site management. They are neither obliged to take directives nor react to external influence while performing their duties or utilizing their expertise in occupational medicine. They have to maintain medical confidentiality. Occupational physicians are obliged to report regularly, at least annually, on the performance of the duties assigned to them.

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6.1.5 Health managers

Health managers have an exclusively advisory and supporting function, and should support the supervisors in their respective sphere of responsibility in measures towards enhancing situational and behavioral prevention.

Core tasks include:

- Providing executives and supervisors with competent advice in behavioral and environmental prevention-related issues
- Enhancing the awareness of *health promotion* at the workplace among executives, supervisors, and employees
- Helping in the development, implementation, and evaluation of needs-based *health promotion* measures
- Organizing and moderating relevant working groups

The tasks of a health manager may also be fulfilled by a safety and health specialist, a company physician, a human resources manager, or any other individual, provided they have the required knowledge.

6.1.6 Safety coordinators

In Germany, companies (with more than 20 employees) included within the scope of this manual shall appoint safety coordinators. Safety coordinators only have an advisory and supporting function. They are intended to support supervisors in implementing their tasks in their respective areas of responsibility and in fulfilling their duties in occupational safety and health management.

Their main tasks are:

- To encourage colleagues at work to act in a safety-conscious manner and to be a role model
- To regularly make sure that guards and protective devices and *personal protective equipment* are available and used correctly
- To give tips and recommendations for eliminating defects and hazards

Safety coordinators are not authorized to give instructions. They hold an honorary office in the Group companies. They do not bear any special responsibility for the implementation of occupational safety and health management and therefore cannot be held liable to a greater extent than normal.

6.1.7 Radiation protection coordinators

6.1.8 Laser protection coordinators

6.1.9 Employee representatives

Depending on the *statutory regulations* and national practices, the employee representatives shall be involved in the planning, implementation, and monitoring of occupational safety and health management activities.

In Germany the works council's responsibilities include:

- Co-determination and co-design of company rules in safety and health
- Monitoring compliance with the rules passed for the protection of the employees in the Group companies

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In other European countries important to thyssenkrupp, such as France, Italy, Spain, and the United Kingdom, safety and health committees elected jointly, or by the employee representatives, play an important creative role.

Irrespective of the relevant *statutory regulations*, the endeavor shall be made to regard safety and health as the joint responsibility of employees and employers and to implement it.

6.2 Group organization

- ✓ Functional operational and organizational structures created for the management structure of the Group?
- ✓ Committees, councils, further bodies established as set out in this manual?
- ✓ Regular meetings ensured and documented?

Employees and representatives elected jointly, or by the employee representatives, play an important creative role. Irrespective of the relevant *statutory regulations*, the endeavor shall be made to regard safety and health as the joint responsibility of employees and employers and to implement it.

6.2.1 Committee Occupational Safety and Health at Corporate level

The Committee Occupational Safety and Health at Corporate level shall be established as a permanent body. It shall be composed of representatives of the management and of the employees. The Committee shall be responsible for the implementation of the measures for the improvement of safety and health in the Group. It shall be responsible for the implementation of the measures for the improvement of safety and health in the Group. It shall be responsible for the implementation of the measures for the improvement of safety and health in the Group.

The Committee shall be responsible for the implementation of the measures for the improvement of safety and health in the Group. It shall be responsible for the implementation of the measures for the improvement of safety and health in the Group. It shall be responsible for the implementation of the measures for the improvement of safety and health in the Group.

The Committee shall be responsible for the implementation of the measures for the improvement of safety and health in the Group. It shall be responsible for the implementation of the measures for the improvement of safety and health in the Group. It shall be responsible for the implementation of the measures for the improvement of safety and health in the Group.

6.2.2 Council Occupational Safety and Health at Corporate level

The Council Occupational Safety and Health at Corporate level shall be established as a permanent body. It shall be composed of representatives of the management and of the employees. The Council shall be responsible for the implementation of the measures for the improvement of safety and health in the Group. It shall be responsible for the implementation of the measures for the improvement of safety and health in the Group. It shall be responsible for the implementation of the measures for the improvement of safety and health in the Group.

Responsibilities of Council Occupational Safety and Health

- Implementation of the measures for the improvement of safety and health in the Group
- Implementation of the measures for the improvement of safety and health in the Group
- Implementation of the measures for the improvement of safety and health in the Group

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Qualified and competent leaders and employees who possess the necessary ability, knowledge, and skills to carry out their activities safely and healthily contribute significantly to the success of occupational safety and health management.

Comprehensive training and regular instruction for those involved are therefore indispensable for occupational safety and health management to function. Training and instructions help employees and leaders to understand, accept, and successfully implement all relevant measures and *procedures*.

Training and instructions do not merely serve to provide pure information. They are also intended to motivate the operational stakeholders to act with safety and health in mind and to promote awareness for a positive position on all questions of safety and health.

The scope and contents of training courses and instructions always depend on the existing accident and health risks. If there is a high company risk, more extensive and more frequent training courses and instructions are required as a rule. In addition to the results of the risk assessment (existing risks and derived measures), employees shall also be appropriately informed of recent *incidents* and the related investigation results. In this context, the contribution each individual can make to a safe and healthy working environment, and the consequences of non-compliance with rules and instructions shall be communicated.

Against the backdrop of the increasing spread of hybrid forms of work, occupational safety and health issues within mobile working environments also need to be appropriately addressed.

Competence and awareness

- ✓ Procedure defined to identify all necessary training and instruction?
- ✓ Training and instruction completed?
- ✓ Documentation available?
- ✓ Regular repetition ensured?

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The training and instruction program shall be designed to also accommodate the individual qualifications of the participants. For example, the vocational qualifications and language skills of the participants shall be taken into account.

Training courses and instruction activities at all events should also be used for communicating to leaders and employees, in an appropriate form, the basic principles of occupational safety and health management in the Group, i.e., the Mission Statement and Vision, the Group's Occupational Safety and Health Policy, the Group's objectives in the sphere of occupational safety and health management, etc. Employees shall also be informed that they are not permitted to follow any instructions that may endanger themselves or add dangers to the area of activities.

It is important that training and instruction are not understood as the one and only, i.e., sole measure for creating the desired awareness levels. Rather, it is up to leaders to support raising awareness through exemplary behavior, appropriate consultation and participation, and appreciative feedback.

Definition of terms

Competence as defined in this manual means the ability to identify, assess, and manage the knowledge and skill of accident and health risks.

Measures

Each company included within the scope of this manual shall ensure that its leaders and employees have the necessary *competence* levels using the following process steps.

“All employees shall be given instruction about the hazards that arise during their activities and the necessary protective measures to be taken.”



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The following process steps are to be considered:

1. Determine the necessary competence and develop a training and instruction concept

The level of qualification to be achieved by employees should be defined in the training and instruction concept. This is based on the results of the risk assessment (see chapter 3 "Workplace risk assessment") and the relevant statutory regulations.

Important criteria are:

- Designation of the target groups
- Compilation of learning objectives
- Description of the contents of training courses and instructions
- Definition of the repetition frequency
- Definition of the responsibilities for planning, implementation, and documentation

The relevant supervisor is responsible for timely implementation of the requisite instruction and training measures.

2. Conduct training and instruction

All leaders and employees shall be given instruction on the hazards that arise during their activities and the necessary protective measures to be taken. The instruction shall be received before starting to work and it shall be repeated at regular intervals.

Instruction shall be given personally. E-learning programs may be used as an effective supplement.

3. Check the achievement of learning objectives

The achievement of learning objectives shall be adequately checked. This can, for example, take place in the form of a written or oral test at the end of the course, or by observing on-the-job implementation of what has been learned. Appropriate methods of verification shall be mutually agreed between all parties to the agreement. Should it be established that participants have not understood training or instructions fully or correctly, or that relevant content has not been covered, the content shall be communicated again in a way the affected individuals can understand.

4. Create documentation

Training and instruction measures shall be documented in an appropriate form.

The documentation should at minimum include:

- Date, duration, and title of the course
- Names and, if possible, signature of the participants
- Description of the contents

When the reaching of the learning targets is confirmed by an exam, then proof of this needs to be documented and recorded.



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Operational implementation

The occupational safety and health management of a company is always only as good as its implementation in the company.

Sections 10.1–10.12 provide information and hints on dealing with typical hazards and stress at the workplace within the Group companies.

Sections 10.13–10.16 describe general hazard-related approaches for preventative measures. In conclusion, section 10.17 addresses the topic of management of contractors.

The implementation depends on the respective *statutory regulations* and the results of the risk assessment. In individual cases, employees from Group companies may be exposed to risks that are not dealt with further or included in this chapter.

10.1 Tools, devices, machines, and equipment



Procedures defined:

- For procurement?
- For initial acceptance?
- For energy control and power lockout?
- For regular inspection?



Employees trained and instructed in:

- How to operate crane installations?
- How to work on electric systems?

Tools, devices, machines, or equipment are employed in almost every activity in the Group. Therefore, safety and health has high priority with regard to handling such technical equipment in the Group.

Measures

In the Group companies only tools, devices, machines, and equipment may be used that are suitable for the intended purpose and in sound operating condition.

EXCERPT

10.13.4 Promotion of individual health behavior



Appropriate measures established for health promotion?

Activities for the promotion of individual health behavior are aimed at enhancing the health and well-being of the employees and, at the same time, at boosting their motivation and performance. Appropriate measures for the promotion of occupational health therefore constitute a vital element in the sphere of individual health.

Definition of terms:

Health promotion means the health-promoting design of working and organizational conditions by the employer and the strengthening of individual health behavior.

Measures

Companies included within the scope of this manual are directed to offer measures, as appropriate and after taking into account the respective operational possibilities and needs, of the following areas of *Health Promotion*. The respective working time models shall be taken into account:

• Exercise

Exercise offerings aimed at boosting employees' physical activity, for example fitness training or running courses.

• Nutrition

Measures in the sphere of nutrition can, on the one hand, have a positive effect on individual employees' eating habits, for example in the form of individual nutritional counseling. On the other hand, offering wholesome food and beverages can help in systematically and sustainably improving the conditions for healthy nutrition in the company.

• Stress management

Training, counseling, or courses on the topic of stress management with the objective of providing employees with support in handling stress situations. At the same time, relaxation offerings such as progressive muscle relaxation or autogenic training help boost the individual's resources so that stress is perceived as less burdensome.

• Addiction prevention

Training, counseling, or courses on addictive behavior, with the objective of sensitizing employees to the necessity for the responsible handling of addictive substances. This includes, for example, stop-smoking programs or counseling on the topic of alcohol/drugs or medication misuse.

• Medical screenings

Medical screenings within the framework of targeted campaigns, e.g., diabetes screenings, provide the possibility of addressing typical risk factors and offering employees corresponding preventative measures.

• Other non-work-related health risks

There may also be a need for measures towards individual *health promotion* beyond the aforementioned thematic areas, for which reason the thematic areas referred to ought not to be seen as an exhaustive list but instead should be added to according to need.

The Implementation Guide "*Health Promotion*" explains step by step how to set goals and measures, gives practical examples, and provides background information.



EXCERPT

10.13.5 Employee Assistance Program (EAP)

- ✓ Possibility of offering psychosocial support reviewed?
- ✓ Employee Assistance Program established where necessary?

As part of the promotion of individual health, it is also important to offer psychosocial advice and support (Employee Assistance Program). Qualified experts such as psychotherapists, educators, and coaches can provide individuals with counseling on professional and private matters – in one-to-one meetings and also via video chats or by telephone or e-mail. This service can be provided by internal specialists or external service providers. Prerequisites for this are strict confidentiality and anonymity.

“As part of the promotion of individual health, it is also important to offer psychosocial advice and support.”

The counseling can cover coping with emergencies or personal crises, psychological problems, or difficult management situations, for example:

- Crisis management after a serious/fatal *occupational accident*
- Death of a relative
- Conflicts in the family or partnership
- Financial distress
- Addiction
- Difficult professional situations
- Brief coaching for executives and supervisors

Measures

Depending on requirements and the operational possibilities in each case, companies included within the scope of this manual should give consideration to establishing an Employee Assistance Program to deal with personal crises when they happen and work to proactively and professionally prevent them.

10.14 Reintegration management

- ✓ Possibility of establishing a company reintegration management system reviewed and, where necessary, implemented?

Measures

Reintegration management is a process of supporting employees who have been absent from work for a longer period due to illness or other reasons. The goal is to help them return to work in a sustainable way and to prevent further absences. This involves a combination of medical, psychological, and organizational measures. The process typically includes an initial assessment, the development of a reintegration plan, and ongoing support throughout the reintegration process. Key measures include: providing medical support and coordination with healthcare providers; offering psychological counseling and stress management techniques; adjusting work conditions and tasks to accommodate the employee's needs; and providing training and support to colleagues and supervisors to create a supportive work environment.



EXCERPT

Check

Investigation of incidents

EXCERPT

- ✓ Procedure defined for:
 - Reporting incidents and serious and fatal accidents?
 - Reporting and classification in PERSIS?
 - Investigation?
- ✓ Investigation carried out for all incidents?
- ✓ Results documented, statistically analyzed, and used for improvements?

Each *incident* generates a degree of high learning potential. However, this potential can only be utilized if *incidents* are recorded, examined, and analyzed systematically.

Corrective measures shall derive from an *incident* investigation. Both the *incident* investigation and the results of agreed corrective measures and their effectiveness shall be documented and archived. Companies included within the scope of this manual shall introduce an appropriate *procedure* for this.

Definition of terms

An *incident* is a sudden event that causes (accident) – or might cause (*near miss*) – an employee to be injured, fall ill, or die.

Occupational accidents are *incidents* that lead to an injury, disease, or death. The event shall have a sudden impact on the body during occupational activities, i.e., while a person is doing their job. No accidents at work – within the context of this manual – are illnesses without impact on the body. The same always applies to activities that serve purely personal or private purposes.

Occupational duties are understood to include activities performed within the framework of an employee's employment contract and which serve or should serve the company's interests.

In addition to the actual work content, occupational activities also include:

- Business meals if participation therein is of an obligatory nature
- Business trips. These also include activities inevitably arising in connection with the business trip and which are not to be classified as purely personal or private matters
- Sporting activities or events if these serve the purpose of compensating for workplace stress, are organized or encouraged by the employer, take place regularly, and participation therein is largely restricted to the company's own employees
- Company parties or outings if organized, encouraged, or sanctioned by the employer and open in principle to all employees or to the respective department

EXCERPT

A *commuting accident* is an incident on the direct route to or from the employee's permanent residence and the place of their occupational activity that leads to an injury, illness, or death. In the event the regular work activity begins with the employee leaving their permanent residence (as is often the case with service technicians in the elevator business, for example), it is not a *commuting accident* but an *occupational accident*.

A *serious accident* as defined in this manual is any accident

A *lost time injury* is an incident that prevents the employee from coming to work the next working day, i.e., the day after the incident.

A *restricted work case* is an incident in which the employee, due to and post an accident, is assigned temporary duties of a different nature to those they are expected to perform, or performed in a smaller scale, and/or smaller scope of services.

A *medical treatment case* is an incident in which the employee requires medical treatment beyond first aid but nevertheless continues to work without significant restrictions.

A *first aid case* is an incident in which the employee continues to work without significant restrictions after a first aid treatment has been given. Each first aid treatment shall be recorded (see section 11.1 "First aid").

A *near miss* is an incident that does not result in injuries to persons, but which might have caused injury or death.

High Potential Incidents (HPI) are incidents that do not result in serious injury, but which could have resulted in a serious, including fatal, accident under slightly different circumstances (see section 15.4 "High Potential Incidents (HPI)").

15.1 Reporting of serious and fatal accidents

Reporting of serious and fatal accidents is a mandatory requirement for all employees. The reporting of such incidents is a key task of the safety management system. The reporting of serious and fatal accidents is a key task of the safety management system. The reporting of serious and fatal accidents is a key task of the safety management system.

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EXCERPT

15.2 Accident recording in PERSIS

The PERSIS system is used for recording all accidents and near misses. It is important to ensure that all incidents are recorded in the system, regardless of their severity. The system allows for the recording of details such as the date, time, location, and description of the incident. It also allows for the recording of the names of the involved parties and the actions taken to prevent further incidents. The system is designed to be user-friendly and to provide a clear overview of all incidents recorded.

15.3 Recording of near misses

It is just as important to record *near misses* as it is to investigate the *occupational accidents*. This makes it possible to initiate appropriate corrective measures before damage occurs. Therefore, all employees should be sensitized for reporting *near misses* to the superiors. This can take place, for example, by way of a defined reporting *procedure* as part of the existing Ideas Management system.

15.4 High Potential Incidents (HPIs)

The *High Potential Incidents (HPIs)* are a special category of *incidents*. HPIs are *incidents* that do not result in serious injury, but which could, under slightly different circumstances, have led to a serious or even fatal accident. In the sense of this manual, the term "HPI" thus covers all accidents and *near misses* that had the potential for a serious *incident*. The risk matrix (Appendix 3.2) helps to decide whether an *incident* should be classified as an HPI or not. Where the *incident* has a risk score of 41 or higher (red zone), it shall be classified as an HPI.

HPIs offer proactive learning potential while *serious accidents* only provide reactive learning potential. Companies included within the scope of this manual shall therefore ensure recording and careful investigation, and report all HPIs in accordance with internal regulations.

15.5 Accident investigation

After each *occupational accident*, the details of the accident and its cause shall be investigated. The same applies to *commuting accidents* on the company grounds. Corrective measures to prevent further *incidents* are to be derived from the accident investigation and agreed with the relevant persons. The relevant supervisor is responsible for the accident investigation. The investigation should be carried out by an investigation team. The use of a neutral facilitator has proven successfully. In the case of illnesses that are suspected to be related to work activities, the same *procedure* should be followed.

15.6 Accident statistics

Accident statistics help to identify where accidents are most frequent. Each company and the higher levels in the Group organization shall therefore keep appropriate accident statistics.

The accident statistics should be recorded in a clear and concise manner. It should include details such as the date, time, location, and description of the incident. It should also include the names of the involved parties and the actions taken to prevent further incidents. The statistics should be reviewed regularly to identify trends and areas for improvement. The statistics should be used to inform the development of safety measures and to provide feedback to employees.

EXCERPT

Appendix

EXCERPT

A 0	Consultation and participation of employees	92
A 1	Context analysis	93
A 2	thyssenkrupp Occupational Safety and Health Policy	94
A 3.1 a	Overview of hazard/stress factors	95
A 3.1 b	Risk matrix	96
A 3.1 c	Guideline for practical usage of the risk matrix	97
A 9	Mandatory information to be documented	99
A 10.13.2 a	Periods/intervals and minimum content for medical aptitude tests	100
A 10.13.2 b	Minimum content for recruitment medical tests for executives	102
A 10.13.3	Minimum content for medical travel advice and examinations	103
A 10.17 a	Contractor self-assessment – minimum content	104
A 10.17 b	Contractor management - questionnaire for monitoring and assessment	105
A 11.2	Evacuation	106

A O

EXCERPT

Consultation and participation of employees

It is essential for the continual improvement of occupational safety and health management that all company stakeholders have the opportunity to participate. In this context, a distinction is made between consultation (consultation before decisions are taken) and participation (involvement in decision-making). The following table shows the topics on which consultation (column 2) or participation (column 3) should take place.

Themes		Consultation	Participation
1	Context of the company	Determination of the needs and expectations for occupational safety and health management	
2	Occupational Safety and Health Policy	• Definition of the Group-wide policy • Preparation of a concrete declaration by the Group unit on the policy of the Group	
3	Workplace risk assessment		• Performing the risk assessment • Definition of measures
4	Compliance with statutory regulations and other requirements	Definition of measures for the implementation of statutory regulations and other requirements	
5	Objectives and measures	Definition of objectives and derivation of measures to achieve them	
6	Organization	• Definition of roles, responsibilities, and authority • Outsourcing of occupational safety and health management functions or processes	Definition of consultation and participation mechanisms
7	Competence and awareness		Determining the necessary competencies and training needs, and how to monitor their effectiveness
8	Communication		Defining the communication process in terms of what to communicate about and how to communicate it
10	Operational implementation	Integration of occupational safety and health management requirements in procurement and contractor company management	
12	Effectiveness reviews	Determination of what is to be monitored, measured, and evaluated in the course of the effectiveness review	
14	Internal audits	Planning, determining, and implementing the audit program	
15	Incident investigation		Investigation of incidents
17	Correction process and continual improvement	Recording, evaluation, and processing of improvement potential	

A 3.1 b

EXCERPT

Risk matrix

Likelihood of occurrence of the potential damage L S Severity of the potential damage	Very unlikely, virtually impossible (3)	Unlikely (5)	Likely (7)	Almost certain (10)
	Personnel are rarely exposed to the hazard	Personnel are rarely exposed to the hazard but the event occurrence is quite probable or	Personnel are frequently exposed to the hazard	Personnel are frequently exposed to the hazard
	Event occurrence highly unlikely ("not heard of to date")	Personnel are frequently exposed to the hazard but the event occurrence is hardly likely ("has been heard of, but no occurrence to date")	Event occurrence is quite likely ("Events have occurred occasionally")	Event occurrence is quite probable ("Events have already occurred more frequently")
	Damage can be avoided/limited through reliable technical measures	Damage can be avoided or limited	Damage can be avoided or limited under specific circumstances	Virtually impossible to avoid/limit damage. Human error is to be expected.
Negligible (1) No significant injury/minor injuries	3	5	7	10
Low (2) Minor injuries (employee can resume their normal work at the latest on the following day)	6	10	14	20
Moderate (4) Moderate injuries (employee cannot resume their normal work after one day)	12	20	28	40
Major (8) Multiple injuries (polytrauma) Life threatening injuries. Loss of limbs or eyesight.	24	40	56	80
Death (10)	30	50	70	100
Critical risk rating ($R = L \times S$)				
3–6	Minimal	Note: The hierarchy of controls shall always be observed when defining measures!		
7–20	Low			
21–40	Medium			
41–100	High			
		Description Negligible risk Risk reduction advisable Risk reduction necessary Risk reduction urgently needed		

EXCERPT

Confirmation of compliance with the requirements of ISO 45001: 2018

The compliance of this manual with the requirements of ISO 45001: 2018 has been confirmed by external parties.



**GC-MARK®
CERTIFICATE**

thyssenkrupp AG
ThyssenKrupp Allee 1
45143 Essen
Germany

Scope:
thyssenkrupp Occupational Safety and Health Management Manual

has submitted its Occupational Safety and Health Management Manual for independent review. Through an external review, documented in a report, it has been confirmed that the Management Manual complies with the requirements of ISO 45001:2018.

The organization is authorized to bear the following GC-Mark:
Verified OSH Management Manual

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Date of certification	2021-11-26
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DQS CFS GmbH
German Association for Sustainability

Guido Eggers
Guido Eggers
Managing Director

DQS CFS GmbH
Deutsche Gesellschaft für Nachhaltigkeit
August-Schwarz-Strasse 21
80631 Frankfurt/Main
Germany

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thyssenkrupp AG
Occupational Safety and Health
thyssenkrupp Allee 1
45143 Essen, Germany
www.thyssenkrupp.com
wecare@thyssenkrupp.com