
Rules of Procedure – Grievance Process under the German Supply Chain Due Diligence Act

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1. Foreword

Evotec takes responsibility for respecting human rights and environmental obligations in its own business, its companies and through appropriate management in the supply chain¹. Evotec offers a grievance mechanism for complaints regarding risks or violations of human rights and environmental obligations arising from the business conduct of Evotec SE, one of its group companies or in the supply chain.

The grievance procedure of Evotec SE and its entities enables potentially affected persons both inside and outside the company to report such risks and violations of obligations.

The grievance procedure enables Evotec to take preventive measures at an early stage to counter impending violations or to remedy violations that are already in place. The knowledge gained from the grievance procedure is also an important source of information for the implementation and improvement of Evotec's due diligence management process under the German [Supply Chain Due Diligence Act](#).

¹ The term supply chain covers all steps worldwide that are required to manufacture the company's products and provide its services, starting with the extraction of raw materials. This also includes the use of necessary services, such as logistics or the interim storage of goods.



2. Who can submit grievance reports?

Any person, including employees of Evotec SE and its entities, as well as third parties worldwide may report complaints

3. What can grievance reports relate to?

Complaints within the scope of these Rules of Procedure may relate to actual, potential, imminent or already occurred violations of human rights or environmental obligations that fall within the scope of the German [Supply Chain Due Diligence Act](#) and which have been arisen as a result of the actions of Evotec SE, one of its entities or in its supply chain.

The human rights-related risks/prohibitions covered by the Supply Chain Due Diligence Act include

- Child labor, slavery, forced labor and sexual exploitation
- Non-compliance with health and safety regulations under the law of the place of employment
- Disregard for freedom of coalition, freedom of association and the right to collective bargaining
- Unequal treatment in employment, for example based on national and ethnic origin, social origin, health status, disability, sexual orientation, age, gender, political opinion, religion or belief, unless this is based on specific occupational characteristics
- Withholding an adequate living wage
- Destruction of the natural basis of life by environmental pollution
- Unlawful violation of land rights
- Torture or degrading treatment by security forces

The environmental risks covered by the Supply Chain Due Diligence Act include the prohibited use, production or disposal of

- Mercury
- Persistent organic pollutants (POPs)
- Hazardous waste

4. Where can complaints be submitted?

There are different reporting channels available for reporting complaints in terms of these rules of procedure.

- **Grievance Office**

Complaints can be submitted directly to Evotec's central Grievance Office

By e-mail: Humanrights@evotec.com



By mail: Evotec SE - Complaints Office
Essener Bogen 7
22419 Hamburg
Hamburg, Germany

- **EVOwhistle**

Complaints can additionally be submitted - also anonymously - to Evotec's digital whistleblowing system, **EVOwhistle**. The system can be accessed under: <https://evotecse.integrityline.app>

In addition to written reports, the digital whistleblowing tool EVOwhistle can also be used to submit reports via voice recording.

Further information on whistleblowing at Evotec can be found here: <https://www.evotec.com/en/about-us/ethics-compliance>.

Complaints received by EVOwhistle within the meaning of these Rules of Procedure will be forwarded to the Complaints Office (see Section 5) for processing.

5. Who handles incoming complaints?

Reports of risks or violations of human rights or environmental obligations at Evotec SE, one of its entities or in its supply chain are handled by the central Grievance Office at Evotec.

In compliance with the principles of confidentiality, data protection and the avoidance of conflicts of interest (see section 6), the Grievance Office may consult other internal or external bodies as necessary when clarifying the facts and processing cases.

6. What principles apply in the grievance procedure?

Any incoming grievance reports are processed. Investigations are conducted objectively and in compliance with the presumption of innocence. Grievances are processed in accordance with the applicable data protection regulations.

The employees responsible for case handling are independent and have the necessary specialist knowledge. They are impartially and obliged to maintain confidentiality.

Evotec also investigates anonymous grievance reports. An anonymous reporting option exists via the digital whistleblowing tool EVOwhistle. If the complainant does not enter any data that allows conclusions to be drawn about their person, anonymity is technically protected by the digital whistleblower portal. By



setting up a protected mailbox when the report is submitted, communication remains possible also in the case of anonymous reports via EVOwhistle.

7. How are complainants protected?

Evotec does not tolerate any reprisals or discrimination against reporters based on a report and protects them as far as possible. This includes, among other things, limiting the group of persons entrusted with the processing to the absolute minimum necessary.

The prerequisite for the protection of the complainant is the submission of a report in good faith, i.e. not a knowingly false report. In the case of a knowingly false report, there is no protection; moreover, this may constitute a criminal offense and lead to an investigation by Evotec or the authorities.

8. What is the procedure after a grievance report has been submitted?

a. Confirmation of receipt and further contact

Receipt of the complaint will be confirmed to the complainant no later than 7 days after receipt.

The prerequisite for receiving confirmation of receipt and for further contact with or communication to the complainant is that contact details were provided when the grievance report was submitted or, in the case of an anonymous report via EVOwhistle, a protected mailbox was set up.

b. Verification of validity

As a first step, incoming complaints are examined to determine whether there are sufficient indications based on the reported facts that there is a human rights or environmental risk or a violation of human rights or environmental obligations. It is also checked which company or supplier is affected by the report to involve other internal or external bodies in the process if necessary, taking into account the principles set out in section 6.

If necessary and legally required, the processing body will contact the complainant to request further information.

If the reported facts are not plausible, the case will be closed, and the complainant will be informed accordingly.

c. Investigation and follow-up measures

If the facts of the case prove to be valid, a comprehensive investigation of the case will follow. If necessary and legally required, the investigating body will contact the complainant to obtain further information.



If the risk or violation is not confirmed during the comprehensive investigation, the case will be closed, and the complainant will be informed accordingly.

However, if the comprehensive investigation confirms a human rights or environmental risk or a violation of human rights or environmental obligations, Evotec will take appropriate preventive or remedial action. The complainant will be informed about the conclusion of the investigation and, if applicable, about the measures implemented considering any conflicting legally protected interests of other persons or companies.