

oerlikon

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Oerlikon Reporting Hotline.

Reporting system „SpeakUp”
Frequently asked questions and
answers (FAQs)

Table of contents

1. „SpeakUp“: How to leave a message
 - 1.1. How do I leave a message?
 - 1.2. What happens in the meantime?
 - 1.3. How do I get an answer?
 - 1.4. With whom can I leave a message?
2. 2. Frequently asked questions about the system
 - 2.1. What is „SpeakUp“?
 - 2.2. What should „SpeakUp“ be used for?
 - 2.3. How does „SpeakUp“ work?
 - 2.4. Who runs „SpeakUp“?
 - 2.5. Is „SpeakUp“ difficult to use?
 - 2.6. Can my identity be revealed?
 - 2.7. Will my voice message be forwarded to the company concerned?
 - 2.8. Can the company concerned trace my connection data?
 - 2.9. What happens to my voicemail?
 - 2.10. Can the confidential treatment (my anonymity) be lifted?
 - 2.11. Who pays for my call?
 - 2.12. Is there a time limit for my message?
 - 2.13. What can I do if "SpeakUp" is not available by phone?
 - 2.14. How quickly will my message be forwarded to the appropriate office?
 - 2.15. Who will receive my message?
 - 2.16. I would like to remain anonymous, but still get a response. What do I have to do for this?
 - 2.17. How quickly will I receive a response?
 - 2.18. When can I reach "SpeakUp"?
 - 2.19. Can I leave a message in my native language?
 - 2.20. Can I also deposit documents?
 - 2.21. What happens if I forget my case number?
 - 2.22. I do not know where to leave a message. Where can I find this information?
 - 2.23. What is personal data and how is my personal data protected when I submit a message via "SpeakUp"?
 - 2.24. 2.23 What rights do I have if I leave a message through "SpeakUp" that contains personal data?
3. T Tips for leaving a message in “SpeakUp”
4. Contact details

For reasons of better readability, the simultaneous use of masculine, feminine and other forms of language has been dispensed with. In the interests of equal treatment, all references to persons apply to all genders. The abbreviated form of language is for editorial reasons only and does not imply any valuation.

1. „SpeakUp“ – How to leave a message

1.1. How do I leave a message?

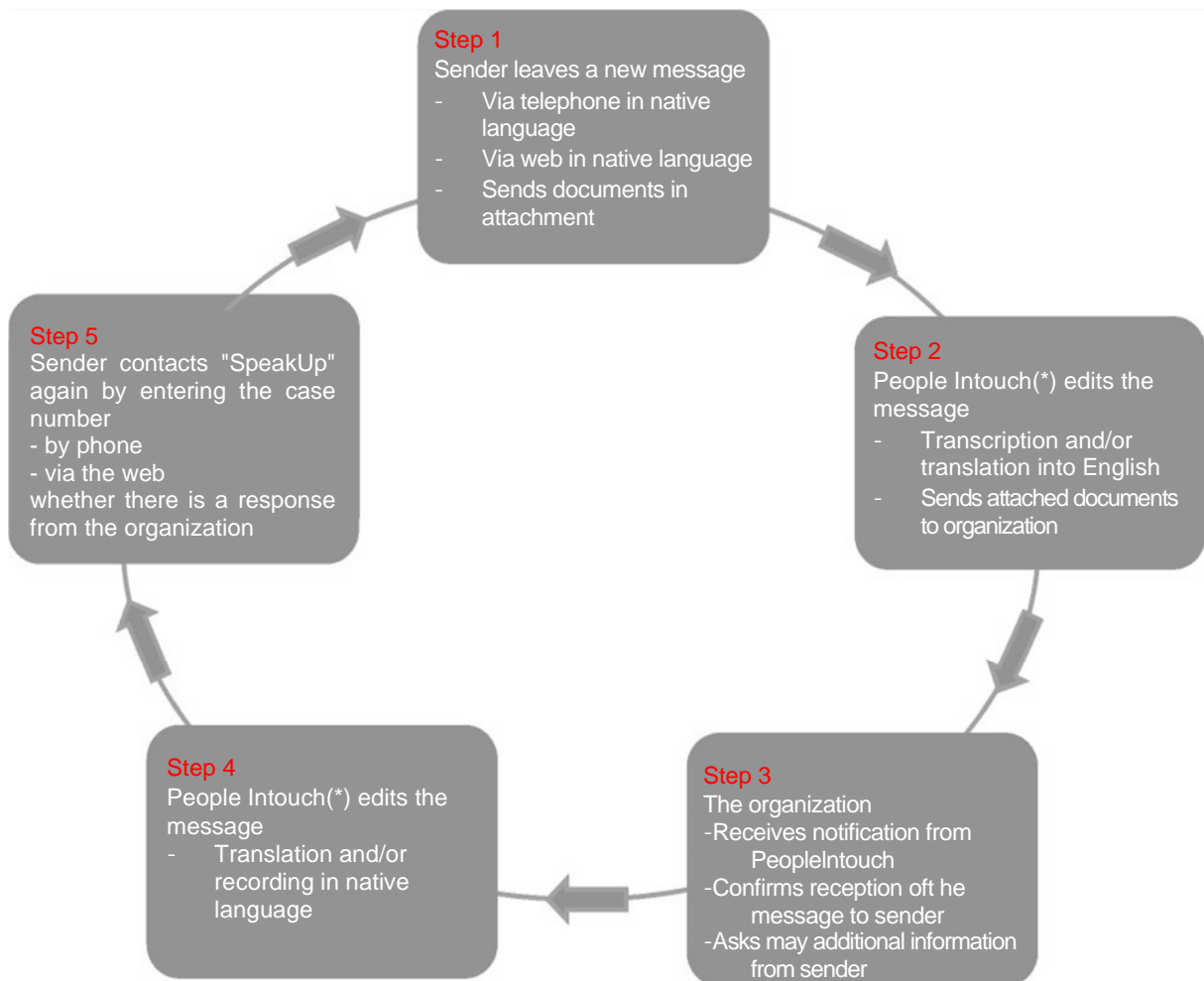
You can leave a (new) message via the "SpeakUp"® system by phone or on the Internet. We recommend that you write down the message beforehand. This way, you can check again for yourself whether you want to pass on the information in this way and whether the message also contains the necessary information so that the recipient can clearly and unambiguously recognize the reported grievance or misconduct.

„SpeakUp“ Internet

- Oerlikon internally – for employees of the Oerlikon Group:
<https://www.speakupfeedback.eu/web/gho8w/>
- External – for all persons who are not employees of the Oerlikon Group:
<https://www.speakupfeedback.eu/web/oerlikonexternal/>
- Country selection: Please select the country from which you are contacting us.
- Language selection: Please select the language in which you want to leave your message.

- Message by phone:
 - Dial the toll-free number provided and enter the displayed access code when prompted.
 - Please have a pen ready when you leave a message. You will receive your personal 6-digit case number generated by random number generator.
 - It is IMPORTANT that you remember this number. You will need the number to access the reply to your message later on "SpeakUp"..
 - When using the "SpeakUp" phone, please speak very clearly and spell out names and/or places you are referring to with your message.
 - After you finish your message, just hang up.

- Message via internet:
 - If you want to submit a message via the Internet, the access code will be displayed. You must enter this code in the field below.
 - If you use the Internet access to "SpeakUp", you can enter your message either by keyboard or by "copy/paste". You can also upload other documents related to your message.
 - When you have finished your message, click on "Send message"; a screen will appear with your case number and the message, which you can then print.



(*) People Intouch is the appointed independent service provider

1.2. What happens in the meantime?

Once you have finished your phone call or sent your message, the operator of the "SpeakUp" platform (the company People Intouch) will translate your message into English, if necessary. If it is a (telephone) voice message, the recording is first recorded word for word (in writing). The audio recording itself is NEVER passed on to OC Oerlikon (parent company) or the Oerlikon Group company concerned.

Once the translation is completed, it will be sent, together with the transcript of the original message, to the compliance officer of your chosen Oerlikon Group company. You can send messages to the companies belonging to the Oerlikon Polymer Processing Solutions (OPP) Division or the Oerlikon Surface Solutions (OSS) Division. You can also send messages to OC Oerlikon Management AG, Pfäffikon, i.e., to the Oerlikon Group. Internal Audit or the legal department of OPP or OSS will monitor incoming messages by proxy, as required.

After an initial assessment of the facts by the compliance officer of OPP, OSS or Oerlikon Group, will respond to the message. The response will again be sent via People Intouch. People Intouch will translate the response into the language of your original message and send it to you via "SpeakUp". If your original message was by phone, the response will also be recorded by People Intouch and sent as a voice message.

1.3. How do I get an answer?

Within 7 working days (Monday to Friday), a reply should be ready for you in SpeakUp. You will find the answer on the same way as you left the message. You use the above-mentioned dial-in data for this.

Attention: It is possible to change the communication via "SpeakUp" from telephone to internet later. However, it is not possible to change from Internet (back) to telephone.

If you wish to listen to your reply via telephone, you will be prompted to dial "1" and enter your case number. Once you have listened to the answer (or read it in the case of an Internet message), you can leave further follow-up messages. However, this does not have to be done immediately, you can also log out or hang up and do this later.

If you have not yet received a reply, please be assured that your message and the facts will be assessed and you will receive a reply within a few, working days. We therefore recommend that you check regularly to see if there is a reply.

1.4. With whom can I leave a message?

"SpeakUp" is provided centrally by Oerlikon Group (contractual partner to service provider People Intouch, Netherlands). The person giving the hint can select who receives the message as a priority. The choices are:

1. Oerlikon Group, Switzerland (parent company)
 - The message will then be received directly by the Head of Group Compliance.
2. Oerlikon Polymer Processing Solution Division
 - The message is then received directly by OPP's Compliance Manager.
3. Oerlikon Surface Solutions Division
 - The message is then received directly by OSS' Compliance Officer.

oerlikon

Surface Solutions Division

oerlikon
balzers

oerlikon
metco

oerlikon
am

Polymer Processing Solutions Division

oerlikon
barmag

oerlikon
neumag

oerlikon
nonwoven

oerlikon
hrsflow

2. Frequently asked questions about the system

2.1. What is „SpeakUp“?

"SpeakUp" is a service (communication tool) by means of which employees (including temporary workers), customers and suppliers of the Oerlikon Group can inform about serious facts (e.g., criminal acts) that would probably not otherwise become known. This is done by telephone or via the Internet (secure website).

A report can also be made completely anonymously.

2.2. What should "SpeakUp" be used for?

We encourage anyone who has knowledge or reasonable suspicion of material misconduct (violation of law or unethical behavior contrary to our Code of Conduct) to make a report.

We encourage employees of the Oerlikon Group to report such matters in particular (also) through the known and established internal reporting channels. These are e.g.

- the supervisor,
- the human resource department,
- HSE Expert,
- the works council,
- the management,
- the compliance officers.

"SpeakUp" is always available to you as an employee and to all third parties 24/7 if the other reporting and reporting channels have been exhausted or are not considered for reporting for other reasons or are not available for you as an external third party.

2.3. How does "SpeakUp" work?

- Telephone:

You call a toll-free number, enter the access code and leave your message. At no time during the call do you speak to an "operator". You will only receive recorded instructions to guide you through the process.

Within seven (7) days, a reply should be ready for you in SpeakUp. You will find the answer the same way as you left the message. You will use the same dial-in data again. As soon as you have listened to the answer, you can leave further follow-up messages. This does not have to be done immediately, you can also hang up and do this later.

There is no upper limit; such an electronic dialog can therefore be repeated as often as desired.

Tip: Write down your message before you call. This way you can check again for yourself whether you want to pass on this information in this way and that the message also contains the necessary information so that the recipient can clearly and unambiguously recognize the reported grievance or misconduct.

- Internet:

Go to the "SpeakUp" website (via hyperlink or by entering the URL) and select your country. Then enter the access code (you can get it on the website). Then select whether you want to submit your messages to OPP, OSS or Oerlikon Group and leave your message.

Within seven (7) days, a reply should be ready for you in SpeakUp. You will find the answer on the same way as you left the message. You will use the same dial-in data again. As soon as you have listened to or read the answer, you can leave further follow-up messages. This does not have to be done immediately, you can also hang up or log out and do this later. There is no upper limit, so such a dialog can be repeated as often as you like.

2.4 Who operates "SpeakUp"?

"SpeakUp" is operated by an external service provider, People Intouch, an independent company based in Amsterdam/Netherlands. It is responsible for processing all incoming messages.

2.5 Is "SpeakUp" difficult to use?

No. Simple (voice) instructions guide you through the web-based process or phone menu.

2.6 Can my identity be revealed?

Oerlikon Group has made a commitment to the service providers People Intouch not to attempt to verify the identity of an anonymous reporter or to disclose the disclosed identity to a witness or person accused in connection with the report.

The recipient of the phone-recorded message (in step 1, the OPP, OSS or Oerlikon Group compliance officer) receives a verbatim translated transcript of your voice message. In the case of a message via the Internet, its original text, supplemented by an English translation. So, you have complete control over the content of your message. If you include your contact details in the message, they will be forwarded to the compliance officer via "SpeakUp". If you do not leave this data, neither People Intouch, nor OPP, OSS or the Oerlikon Group will be able to identify who you are.

An exception exists only if the authorities demand the surrender of the data in accordance with mandatory statutory provisions.

2.7 Will my voice message be forwarded?

No. The "SpeakUp" service is operated by People Intouch, an independent company that records your message in writing and translates it (if necessary). Only this transcript (and its translation, if applicable) will be shared.

Tip: If you feel uncomfortable leaving a voice message for this reason, ask someone else to record the message for you or use the option to leave a written message over the Internet.

2.8 Can the respective company trace my connection data?

No. The "SpeakUp" service is operated by People Intouch, neither OSS, OPP nor Oerlikon Group have access to the connection data. Telephone data and IP addresses are not made available to OPP, OSS or Oerlikon Group.

However, it could be that this connection data is traceable if you use a company phone or computer for reporting.

Tip: You can use a public or other untraceable phone or computer.

2.9 What happens to my voicemail?

Upon confirmation of receipt of the transcript (and translation) by OPP, OSS or Oerlikon Group, People Intouch will immediately delete the recording.

2.10 Can the confidential treatment (my anonymity) be lifted?

In the event that a message is left threatening a criminal or violent act, OPP, OSS or Oerlikon Group may request that the recording of the voice message not be deleted and transmitted to law enforcement authorities. However, even in such a case, the recording will not be transmitted to OPP, OSS or Oerlikon Group.

2.11 Who pays for my call?

The "SpeakUp" service is generally available at toll-free telephone numbers. Important: Costs may be incurred in exceptional cases (e.g., with some cell phone providers).

2.12 Is there a time limit for my message?

No, however, after 7 minutes of talk time you will receive a message asking if you want to continue the call.

Tip: Try to get to the heart of your message as best you can.

2.13 What can I do if "SpeakUp" is not available by phone?

If you have tried a cell phone, please try a landline instead. From experience, this is the safest way to reach the "SpeakUp" service by phone. If you also have problems reaching "SpeakUp" from a landline, you can send an e-mail to Support@peopleintouch.com.

Your name, address or other sensitive data will not be disclosed to OPP, OSS or the Oerlikon Group under any circumstances.

2.14 How quickly will my message be forwarded to the appropriate office?

Your message or the transcript of your voice message (with translation if necessary) will be forwarded within one business day.

2.15 Who will receive my message?

The recipient of your message is either the Oerlikon Group Compliance Officer or OPP or OSS, depending on which recipient you have chosen. Oerlikon Group's Internal Audit or OPP's or OSS' Head of Legal will, by proxy, monitor incoming messages as necessary.

Based on this first examination, the further way of dealing with the facts is determined.

Depending on the seriousness of the allegation, the group of persons concerned and the area of law, further investigation will be carried out directly by the responsible compliance officers of Oerlikon Group, OPP or OSS. Alternatively, the report may be handed over to the responsible unit of the respective affected business unit of Oerlikon Group (usually the management of the business unit or, if available, the responsible compliance officer of the business unit).

External experts, e.g., lawyers, may be called in for further examination of the grievance. There may be a duty to report if there is sufficient suspicion of a criminal offense.

2.16 I would like to remain anonymous, but still get a response. What do I have to do for this?

You will receive a personal case number from "SpeakUp" that you MUST remember. This number will give you access to the answer to your message when you log back into the "SpeakUp" service.

2.17 How quickly will I receive a response?

The goal is for you to receive an initial response within 7 working days (Monday to Friday). If after this time there is still no response, we recommend that you try again after a few days. However, you also have the option to leave another message under the same case number.

2.18 When can I reach "SpeakUp"?

The "SpeakUp" service is available 24 hours a day, every day of the year by telephone or via the Internet. Each country has its own toll-free telephone number or Internet address (URL) and access code.

2.19 Can I leave a message in my native language?

You can leave a message in the designated languages of the respective Oerlikon subsidiaries. You will receive your replies in the same language in which you left your message.

2.20 Can I also deposit documents?

If you use the "SpeakUp" service via the Internet, you can upload (electronic) documents to "SpeakUp" in addition to a message.

If you have submitted a telephone message, you can log in via the Internet with your case number (click on the "if you already have a case number" button) to upload documents there.

Tip: If you want to remain anonymous, make sure that the documents you upload do not contain any clues to your identity.

2.21 What happens if I forget my case number?

If you have forgotten your case number, please leave your message again under a new case number. Please use the new case number for further communication.

2.22 I don't know where to leave a message. Where can I leave this information find?

You can usually find this information on the Internet site of the Oerlikon Group, OPP and OSS. Employees of the Oerlikon Group can also find the information on the intranet, e.g., House of Policies.

2.23 What is personal data and how is my personal data protected when I deliver a message via "SpeakUp"?

Personal data is information that can (directly or indirectly) be used to identify a person mentioned in your message (e.g., name, address, telephone number, a picture or similar). The processing of such data by People Intouch (operator of "SpeakUp") is subject to the provisions of the deposited Oerlikon Privacy Policy. This can be found on the "SpeakUp" home page in the footnote.

2.24 What rights do I have if I leave a message through "SpeakUp" that contains personal data?

Oerlikon Group, as a contractual partner of People Intouch, is responsible for ensuring compliance with your rights under the GDPR.

3. Tips for leaving a message in „SpeakUp“

- Write down your message before you call. This way you can check again for yourself whether you want to pass on this information in this way and whether the message also contains the necessary information so that the recipient can clearly and unambiguously recognize the reported grievance or misconduct.
- If you are concerned that when you leave a voice message your voice may be recognized, ask someone else to record the message for you or use the option to leave a written message over the Internet.
- You can use a public or other untraceable phone or computer.
- Clear the browser's cache memory after using "SpeakUp".
- If you want to remain anonymous, make sure that the documents you upload do not contain any clues to your identity.
- Make sure you do not forget your personal case number. Only you know this number.
- Before you leave your message, consider whether or not to do so anonymously.
- Before you leave your message, think about what information you want to give and to what extent. The information should be to the point so that you allow the recipient to make an objective assessment.
- Try to get to the heart of your message as best you can. To do this, it is helpful to provide meaningful and clear facts about the issue (e.g., exact location, time and date, invoice numbers). Documents can be uploaded.
- Names of people can also be important, yet PLEASE mention them only if it is imperative to understanding and solving the issue. Stick to the facts when giving information about a person. Refrain from giving information that could affect that person's privacy (e.g., religious affiliation or mental and physical condition). If providing a name is required, please spell it out when leaving a voice message.

4. Contact details

The following communication channels are available:

Compliance departments: in person, by mail, telephone or e-mail:

OC Oerlikon Management AG, Pfäffikon

Global Head of Compliance

Churerstrasse 120

CH-8808 Pfäffikon / Switzerland

Phone: +41 58 360 97 28

Email: Alisia.Grenville@oerlikon.com

Contact person: Alisia Grenville

Polymer Processing Solutions Division

Oerlikon Textile GmbH & Co KG

Dept. Legal, Compliance & IP

Leverkuser Strasse 65

DE-42897 Remscheid / Germany

Phone: +49 2191 67 2595

E-Mail: Lieferkettengesetz-manmade-fibers@oerlikon.com

Contact person: Berta Körte

Surface Solutions Division

Oerlikon Surface Solutions Holding GmbH

Dept. Legal Compliance

Spreestr. 2

DE-65451 Kelsterbach / Germany

Phone: +49 6142 60330

E-Mail: Lieferkettengesetz-surface-solutions@oerlikon.com

Contact person: Katrin Meiser

„SpeakUp“ whistleblower system

- Internal (Oerlikon Group employees):
<https://www.speakupfeedback.eu/web/gho8w/>
- External (Every third person outside the Oerlikon Group):
<https://www.speakupfeedback.eu/web/oerlikonexternal/>