

# SIEMENS

## Information to the Code of Conduct for Siemens Suppliers, Section 'Occupational Health and Safety':

This information is intended to support suppliers in understanding the requirements of a 'reasonable management system'.

The relevance of an enterprise (here the supplier) in terms of occupational health and safety is essentially dependent on the type of activities that its employees perform. A distinction is therefore made here between enterprises that perform solely administrative/management or advisory functions or purely sales- and marketing-related activities (category 1), and those that also manufacture products (systems, components, etc.) or in any other way process or rework products. It is also beneficial to assign these manufacturing enterprises to a category of SME (definition provided below). Enterprises with over 250 employees that operate in the processing or reworking industry are assigned to category 3.

Microenterprises are assigned to category 1 irrespective of the industry in which they operate. In the case of these companies it is not appropriate to insist on a formalized management system. It is sufficient here for the supplier to provide evidence that it fulfills the important basic obligations that allow its employees to work safely and without accidents.

Additional measures are required for category 2 enterprises, but they too are not usually expected to have a formalized management system in place.

Category 3 enterprises are expected to fulfill all aspects of an occupational health and safety management system, e.g. based on OHSAS 18001, and to document this fulfillment accordingly. They are currently not normally required to have the systems certified by a third party.

### Annex to the Code of Conduct

Category	Industry	Minimum requirements of an "appropriate management system"	Notes
1	Small and medium-sized enterprises that offer or perform solely administrative/management, advisory or sales/marketing activities.  Micro-enterprises that operate in the processing and reworking industry	Provide evidence that prescribed occupational health and safety requirements, such as the provision of support in technical safety issues by specialist experts, instruction and training for employees (including documentation) and hazard assessments – are covered.	Supplier signs the Code of Conduct and confirms its compliance with the occupational health and safety provisions to which it is subject.  In the case of category 1 companies it is not necessary for a <u>formalized</u> management system to be in place. It is sufficient here for the supplier to provide documentary evidence that it fulfills the important basic obligations that allow its employees to work safely and without accidents.
2	Small and medium-sized enterprises that operate in the processing and reworking industry <sup>*)</sup>	Further minimum requirements in addition to those described for category 1:	Supplier signs the Code of Conduct and confirms its compliance with the occupational health and safety provisions to which it is

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	Enterprises with over 250 employees that offer or perform solely administrative/management, advisory or sales/marketing activities**)	<ul style="list-style-type: none"> <li>• Written statement of commitment to occupational health and safety by the company's management</li> <li>• Assessment of, and an undertaking to comply with, legal requirements</li> <li>• Emergency planning and hazard prevention measures</li> </ul>	<p>subject, as well as the minimum requirements described for category 2, and to confirm that it will provide evidence of this compliance. A <u>formalized</u> management system is not necessary for category 2.</p> <p>The supplier may need to be classified as category 3.</p>
3	Enterprises with over 250 employees that operate in the processing and reworking industry	<p>Evidence of the systematic and documented implementation of the elements of an occupational health and safety management system (see below):</p> <ul style="list-style-type: none"> <li>• Occupational health and safety policy</li> <li>• Defined roles and responsibilities in relation to occupational health and safety</li> <li>• Assurance that employees and managers are qualified and trained</li> <li>• Records of occupational health and safety training</li> <li>• Hazard identification and risk assessment (hazard assessment)</li> <li>• Assessment of, and an undertaking to comply with, legal requirements</li> <li>• Established targets and programs</li> <li>• Definition and implementation of systems to fulfill the occupational health and safety policy and targets</li> <li>• Emergency planning and hazard prevention</li> <li>• Regular monitoring of processes, records of audits conducted regularly, assessments of the occupational health and safety management system</li> </ul>	<p>Supplier signs the Code of Conduct</p> <p>and provides evidence of an occupational health and safety management system (e.g. as defined in OHSAS 18001 or other standards) or it provides documentary evidence that the elements described for category 3 have been implemented.</p>

\*) In specific individual cases it may be necessary to assign category 3 status to small and medium-sized enterprises which primarily perform high-risk activities (e.g. chemical or process-engineering operations, galvanizing operations, operations involving a high degree of mechanical production). If it is unclear how a supplier is to be classified, or if Siemens takes the view that a supplier should be classified in category 3, occupational health and safety specialists must be consulted.

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\*\*\*) In specific individual cases, a classification at category 3 may be necessary (e.g. in the case of large, multinational software companies, etc.). If it is unclear how a supplier is to be classified, occupational health and safety specialists must be consulted.

## Notes for CSP:

Category	Comments
1,2,3	<ul style="list-style-type: none"><li>Audits are conducted by quality auditors on the basis of spot checks or if there are specific issues that merit investigation. CHR CP G AR2 provides audit catalogs for each of the categories; occupational health and safety specialists (e.g. work safety specialists or work safety officers) are to be consulted with any questions.</li></ul>

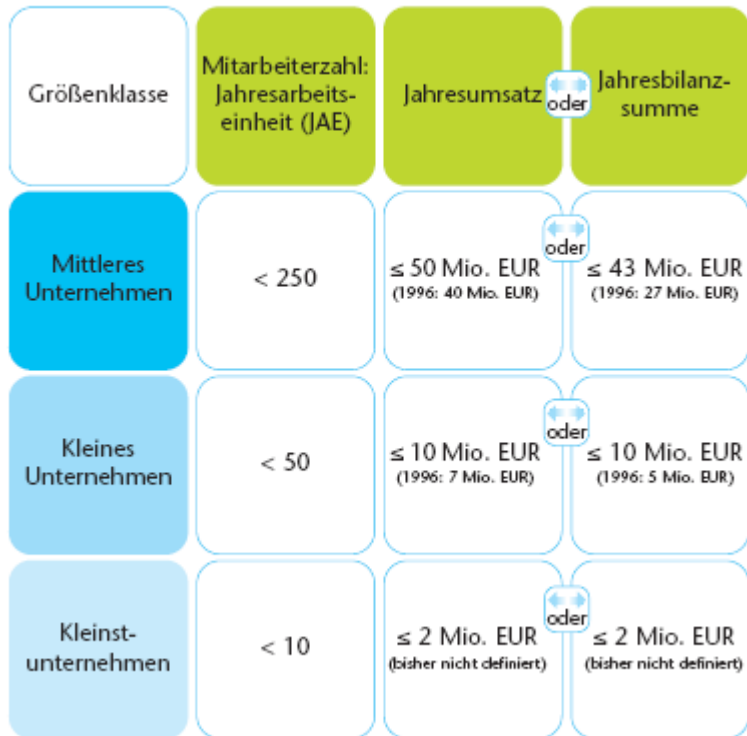
## Definitions/explanations:

### Small and medium-sized enterprises:

Please refer to the EU definition of SMEs:

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## DIE NEUEN SCHWELLENWERTE (Artikel 2)



### Legend:

#### New thresholds (article 2)

Enterprise category	Headcount: annual work unit (AWU)	Turnover	or	Balance sheet total
Medium-sized	<250	≤ €50m (1996: €40m)	or	≤ €43m (1996: €27m)
Small	<50	≤ €10m (1996: €7m)	or	≤ €10m (1996: €5m)
Micro	<10	≤ €2m (not previously defined)	or	≤ €2m (not previously defined)

Source: [http://ec.europa.eu/enterprise/enterprise\\_policy/sme\\_definition/index\\_de.htm](http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_de.htm)