

The Group Directive was issued in [German] and translated into [English].  
Gender-neutral terms always refer to both male and female individuals

<b>Instruction / Communication</b>				
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**1 Modifications**

<b>Date</b>	<b>Modification</b> (latest 10 modifications)	<b>Author</b> (First name, surname, OU)
05.07.2018	Complete revision, adaptation to roles, responsibilities and structure after Phoenix. Clear reference to ISO 14001: 2015.	
16.11.2018	Integration of Appendix 3	
20.09.2019 - 08.10.2019	Area of application adapted. Tasks of the central environmental officer added. Section "Context of organisation" and information on stakeholder analysis added. Process regarding collecting, updating and communicating of group-wide environmental targets was added and Appendix 4 was respectively added. Reporting added and specified. Integrated Sustainability Guidelines added as Annex 3. RWE Renewables added and update of Appendix 1.	
16.12.2019 v. 3.1	Editorial adaptation Chapter 5.3.2 & 5.3.3: Addition of a sentence on the cooperation of the Central Environmental Officers with the Environmental Management Officer and their interaction regarding experience and information exchange.	
20.03.2020 v. 3.2	Update of Layout	
23.07.2020	Amendment of unbundling phrase in chapter 3	
28.07.2020 v. 3.3	Editorial adaptation chapter 4 Environmental Management Officer and 6.2 report environmental incidents. Elimination of comments/footnote regarding Renewables International for transition phase.	
24.08.2020 v. 3.4	Editorial update Annex 1 wrt to sequence of Group companies	
27.11.2020	Amendment of unbundling phrase in chapter 3	
16.02.2021 V 3.6	Update Annex 3 Integrated Sustainability Guidelines of RWE	
12.05.2021	Update Annex 3, new Group Board since 1.5.21	

## 2 Objective

Environmental protection is an integral part of RWE's sustainability policy. RWE is committed to comply with environmental requirements and contributing to the avoidance of environmental pollution through continuous improvement of processes. This is part of RWE's sustainability catalogue, thereby substantial part of the Corporate Responsibility Report (CR Report) and as the top indicator anchored in RWE AG board members target agreement.

In the context of environmental protection, the company fulfils its responsibility and ensures that the business-related environmental aspects are identified and taken into account. This Group Directive serves to define standardized principles for the environmental protection of RWE AG and the Group companies specified in the area of application and to determine how the monitoring by RWE AG takes place.

In case of questions, comments, etc. which refer to the implementation of this Group Directive, please address your feedback to the Environmental Management Officer (RWE Power - Organisational Development & Mgmt. Systems).

In addition, it is possible to give easily feedback via e-mail.

## 3 Area of application

This Group Directive applies to RWE companies with following characteristics:

- affiliated companies which are included in the consolidated financial statements and
- have business activities with staff and / or assets (e.g. operation of plants, real estate / property management etc.).

The Group companies are obliged to implement the requirements of this Group Directive as part of their business activities and, if necessary, to substantiate them and to ensure implementation in its subsidiaries.

Where necessary, these Guidelines provide for partial deviations regarding group companies that are subject to the unbundling requirements. These provisions ensure, in particular, that the legal requirements regarding the independence of the group companies being subject to the unbundling requirements, with respect to organisation, decision-making powers and the operation of the respective business are fulfilled and that the confidentiality of economically sensitive information as well as compliance with the principle of non-discrimination are ensured.

Group companies that are subject to the unbundling requirements must ensure that economically sensitive information, of which they become aware in the course of their business activities, is treated confidentially. In particular, such information has to be protected properly against dis-

closure to competitive and non-competitive units of the group. In case of disclosure of information which may give rise to economic benefits, compliance with the principle of non-discrimination is ensured.

#### **4 Definition of terms**

*Sustainability policy / environmental policy:*

Basic statement of a company's management outlining the importance of environmental protection and its commitment of an appropriate and proper implementation of environmental protection requirements. The environmental policy is part of the integrated sustainability policy (see Annex 3) of RWE.

*ISO 14001:*

If the term ISO 14001 is used in the context of this directive, then the ISO 14001: 2015 "Environmental management systems - requirements with guidance for use" is meant.

*Environmental Protection:*

Sum of all measures for the protection of the environment. The basis for operational environmental protection is above all the compliance with legal and licensing requirements. The environmental management system supports the implementation of environmental protection through a suitable organisational structure with defined processes.

*Environmental Management System:*

An internal management system with a documented organisational and procedural structure, that ensures the effective control of the company, taking into account the environmentally relevant aspects.

*Environmental Management Officer:*

Representative appointed by the Board, who advises, supports and informs the responsible Executive Board Member in the performance of his duties and who coordinates and monitors the establishment, implementation, maintenance and continuous improvement of an environmental management system in accordance with the requirements of the international standard ISO 14001: 2015 on his behalf.

*Central Environmental Officer:*

Companies that require more in-depth environmental expertise due to their business and that are legally obliged to designate environmental officers (water, waste, immission, etc.) must ap-

point a central environmental officer who acts as contact person for environmental specific subjects.

*Legal and other requirements:*

- Environmental law provisions including sub-law rules, regulations and standards as applied in the respective jurisdiction.
- Provisions, requirements and collateral clauses related to the construction, installation and operation of all kinds of plants, especially for the exploration, production and trading of and with coal and natural gas, the power generation, the storage as well as the supply of water and the treatment and disposal of wastewater.

## **5 Plan environmental protection**

The group companies in the area of application of this directive are obliged to establish, implement, maintain and improve an environmental management system in line with ISO 14001:2015 (see also portal eNorm), taking into account country-specific and legal requirements, which enables them to effectively manage the environmental aspects arising from their business activities.

The mandatory documents and specifications for the company specific arrangements defined in the standard are to be recorded in a company-specific standard document. In this Directive only specific topics are regulated which must be considered in addition to the general requirements of the standard.

It is the responsibility of the respective group companies to establish, implement, maintain and improve their environmental management system in line with the requirements and changes in their business activities as well as the applicable environmental laws and requirements. Group companies whose business has high environmental relevance are recommended to have their environmental management system certified by an independent accredited body.

### **5.1 Context of the organisation**

A fundamental part of a management system is a systematic analysis of the environment in which an organisation exists. This includes the relevant stakeholders with their expectations and requirements. Based on their influence and interests the evaluation of the relevant stakeholders is carried out by means of a stakeholder analysis. The process of updating and approving the stakeholder analysis on group level is the responsibility of the organisational unit Political Affairs (Corporate Responsibility) and is defined in the Business Directive CR-Reporting. CR integrates

the Environmental Management Officer and the Central Environmental Officers in updating the stakeholder analysis to consider the environmental perspective. The group companies in the area of application of this directive are obligated to conduct stakeholder analyses for their companies and, if necessary, for sub-levels.

## **5.2 Environmental Policy**

The "environmental policy" is part of the „Integrated Sustainability guidelines of RWE“ (see Annex 3). It is to be applied by all group companies in the area of application of this directive. The group companies are free to specify the integrated sustainability guidelines based on their business activities or to have it signed and communicated by the responsible management for cultural reasons.

## **5.3 Organisation and responsibility**

In addition to the requirements of the standard, following roles are pronounced within the environmental protection:

### **5.3.1 Executive Board Member of RWE AG responsible for environment**

In the Executive Board of RWE AG the CEO takes over the role of the board member responsible for environment and defines overall environmental protection goals for the RWE Group, in consultation with the board members responsible for environment of the included group companies.

This does not affect the sole legal responsibility of the respective group companies management board for the respectively required establishment, implementation, maintenance and continuous improvement of the environmental management system as well as the fulfilment of the valid environmental protection requirements.

### **5.3.2 Environmental Management Officer**

The Executive Board Member of RWE AG responsible for environment is consulted, supported and informed in the performance of his duties by an Environmental Management Officer who is appointed in written form (see also Annex 1). The regular interaction with the Executive Board Member responsible for environment is carried out in collaboration with the Head of Internal Audit & Compliance of RWE AG.

The tasks of the Environmental Management Officer of RWE AG include, among others:

- Reviewing and monitoring the environmental management system in group companies and conducting annual internal audits in non-certified companies of the RWE Group

- Fulfilment of internal reporting obligations of RWE AG, in particular as an interface to compliance (member of the Compliance Committee) and Corporate Responsibility, as well as support for the annual reporting and checks of the non-financial report (NfB). In this context, coordination of the collection and plausibility check of the required environmental data with the involvement of the Environmental Officers.
- Support of the Executive Board in the annually required assessment and necessary development of the environmental management system (in coordination with the Head of Internal Audit & Compliance).
- Ensuring the required expert input by involving the Central Environmental Officers in the preparation of group-wide recommendations on environmental targets, environmental programs and measures, the technical preparation and implementation of environmental protection requirements.
- Coordination of a regular exchange with the Environmental Management Officers and Central Environmental Officers listed in Annex 1.

The Environmental Management Officer of RWE AG is i.a. authorized:

- To participate in the management reviews of the defined group companies,
- To coordinate the environmental management officers of the group companies and where appropriate, to demand an exchange of experience between the central environmental officers and environmental management officers of the group companies in the area of application of this directive or to propose a common approach.

### **5.3.3 Environmental organisation in the included group companies**

#### **5.3.3.1 Executive Board Member responsible for environment**

Each group company in the area of application of this directive is obliged to appoint at least one executive Board Member who is assigned the tasks of environmental protection. In doing so, the operational responsibility from entrepreneurial and operator duties has to be considered.

#### **5.3.3.2 Environmental Management Officer**

The direct group companies in the area of application of this directive are obliged to appoint an Environmental Management Officer in written form, to whom the assessment of the requirements of an appropriate environmental management system together with the Environmental Officers, if available, is delegated and who advises, supports and informs the responsible Executive Board Member as contact person. For specialist questions on environmental topics, the Environmental Officers, if available, are to be involved.



The Environmental Management Officer coordinates and monitors the establishment, implementation, maintenance and continuous improvement of the environmental management system on behalf of the management. The Environmental Management Officer reports to the Executive Board of the group company together with the Environmental Officers, if available, on the status of environmental management at least once a year.

### **5.3.3.3 Central Environmental Officer**

In particular, the Central Environmental Officers (see Chapter 9.1/Annex 1) can be appointed by any direct group company with high environmental relevance. As experts Central Environmental Officers have the task, to implement the environmental protection according to the specifications and to further develop the topic of environmental protection appropriately together with the Environmental Management Officer of a direct group company. They coordinate the Environmental Officers in the respective company to compile agreed positions for overarching topics or rather to decide together with the Environmental Management Officer or to give statements and to share and agree on comprehensive information and decisions with the respective Environmental Officers.

### **5.3.3.4 Environmental Officers**

The Environmental Officers have in the context of their technical and functional competence and to the extent necessary for the matter in particular the following tasks:

- Advise, support and inform the Executive Board Members responsible for environment of RWE Generation, RWE Power and RWE Nuclear in the areas of operational environmental protection involving the affected Environmental Management Officers.
- Support the Environmental Management Officer in the annual internal / external audits.
- Collection and forwarding or rather distribution of information from the circle of appointed Environmental Officers in the fields of immission control / hazardous incident protection, water protection, waste disposal and transport of hazardous goods from and to these and, if necessary, to the responsible Environmental Management Officer.

## **5.4 Compliance Obligations**

The group companies in the area of application of this directive are obliged to ensure compliance with the applicable legal standards and requirements in the area of environmental protection. Each group company ensures compliance with the applicable legal standards and requirements

by appropriate definition of processes and use of suitable tools (e.g. control specifications, operational instructions, legal register).

### **5.5 Group-wide environmental targets**

In addition to the mentioned integrated sustainability guidelines of RWE (see Annex 3), the environmental targets and associated KPIs "Group-wide environmental management system coverage" and "Number of serious environmental incidents" are part of RWE AG's non-financial report (blue sections in the Sustainability Report) annually. RWE AG reviews annually, especially with regard to environmental protection, if further targets should be formulated and anchored or need to be adapted beyond the environmental targets listed in Annex 4, for example based on the updated environmental aspects or relevant topics of the group companies that go. In this case "Corporate Responsibility" ensures that related environmental targets are proposed, defined, approved and accessible to employees, in consultation with the Environmental Management Officer of RWE AG and with the involvement of the Central Environmental Officers and other relevant departments of RWE AG (e.g. Investor Relations),

The annual update and release of the group-wide environmental targets for the following year is carried out in Q4 as part of the management review of RWE AG. Environmental targets that are part of the non-financial reporting may be adjusted at the beginning of the year in consultation with CR. In January of each year CR requests the achievement level of the environmental targets of the previous year from the Environmental Management Officer of RWE AG and communicates the achievement level via the non-financial report. The environmental targets are not limited to RWE AG but apply to the entire RWE Group.

## **6 Conduct environmental protection**

### **6.1 Group regulations out of force**

In the following, some essential requirements for the implementation are mentioned in addition to the provisions of the referenced standard.

### **6.2 Emergency preparedness and response**

The group companies in the area of application of this directive identify, record and document significant risks that may arise under environmental protection aspects from the business activities and related assets.

The significant risks are to be taken into account in accordance with the requirements of the respective risk management of the company and the interface to this process / the responsible function must be defined comprehensible.

For emergency preparedness and response, the respective organisational requirements for emergency and crisis management are to be followed and the interface to this process / responsible function are to be defined comprehensible.

### **6.3 Environmental incident notification and reporting**

The systematic classification of environmentally relevant incidents supports the assessment and improvement of our environmental performance also as a contribution to the corporate and social (environmental) responsibility of RWE.

In addition, group companies can use the experience of others in dealing with environmental incidents and the lessons learned from their assessment to improve the environmental performance and to respond to possible events better (or eliminate in advance).

Each employee is required to report environmental incidents (incidents, abnormalities and near-misses) to his line manager. Employees of suppliers and service providers acting on behalf of RWE are obliged to report the aforementioned incidents for which RWE is responsible to their RWE contact-person. Responsible for the recording and classification of an environmental incident is the site / OU manager. At this they are usually supported by environmental officers or environmental protection specialists.

The Environmental Incident Scheme (Annex 2) applies to the systematic classification and reporting of environmental incidents. In the case of serious environmental incidents (category 3), the responsible Executive Board Member of the company and the Environmental Management Officer of RWE AG are to be informed additionally in accordance with the scheme.

In the context of integrated compliance reporting, a quarterly request for environmental incidents (especially Category 3) and preventive measures in accordance with the Environmental Event scheme (see Annex 2) is carried out for all companies in the area of application of this directive through the Environmental Management Officer of RWE AG together with the Environmental Management Officers of the companies. The Central Environmental Officers are informed about the results of the request. In addition, together with the environmental incidents query for the 4th quarter a request of monetary and non-monetary sanctions for non-financial report is carried out in January of each year.

In addition, the annual environmental data collection for the CR report and non-financial report takes place between December and mid-February. Environmental data is collected in SoFi<sup>1</sup> for companies which are in the area of application of this directive. Depending on the company, the data is recorded at site or company level. It should be noted that the data acquisition is done max. up to the level of the subsidiaries of RWE AGs subsidiaries. For companies whose business has no high environmental relevance or, for example, do not operate any facilities/sites, data collection is only done, if more than 500 employees are employed in the company. A corresponding overview of the companies and sites for which environmental data is collected in SoFi is maintained centrally by the organisational unit "Organisational Development & Management Systems" of RWE Power AG.

Statements on group-wide environmental protection topics are provided by Group Communications & Public Affairs. Environmental reporting obligations of the group companies remain unaffected by this.

## **7 Check environmental protection**

### **7.1 Internal audits and internal audit program**

The Group companies in the area of application of this directive are obliged to perform internal audits, to the respectively required extent, at planned intervals to assess the compliance with environmental management system requirements and the effectiveness and maintenance of the system. For this, an internal audit program is to be implemented and maintained.

In a three-year cycle, the essential requirements of the standard are to be checked. If applicable, assessments / evidence on implementation carried out in other audits / processes can and should be used for the planning and execution of internal audits.

Once a year, RWE AG checks, if the required environmental management system according to ISO 14001:2015 has been implemented in the group companies in the area of application of this directive. This is done either by requesting the certificate from companies certified by an accredited body or by an audit of RWE AG in non-certified companies. These audits are planned and carried out by the Environmental Management Officer of RWE AG or, in the case of role conflicts by other internal auditors on behalf of the Head of Internal Audit & Compliance. The realization as well as the results of the audits is to be documented. This assessment forms the basis for the TOP indicator "Environmental Management Coverage".

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<sup>1</sup> Corporate sustainability software used at RWE for environmental data collection.

## 7.2 Management Reviews

The Executive Board Members of the group companies responsible for environment are obliged to review the implementation, appropriateness and effectiveness of the environmental protection measures at least once a year and to document the results and, if necessary, to determine measures. Measures from internal audits or previous / subordinate management reviews are to be taken into account.

## 8 Group regulations out of force / concurrently in force

### 8.1 Group regulations out of force

- The present version 3.2 of August 2020 replaces the previous group policy Environmental Management, Version 3.1 from 16.12.2019
- Separate advice on the execution of environmental due diligence assessment

### 8.2 Group regulations concurrently in force

- RWE Code of Conduct (including Supplementary Agreement to the Code of Conduct)
- Business Directive CR-Reporting.

## 9 Annexes

**Annex 1:** Environmental protection organisation at RWE and the included Group companies

**Annex 2:** Environmental Incident reporting scheme RWE

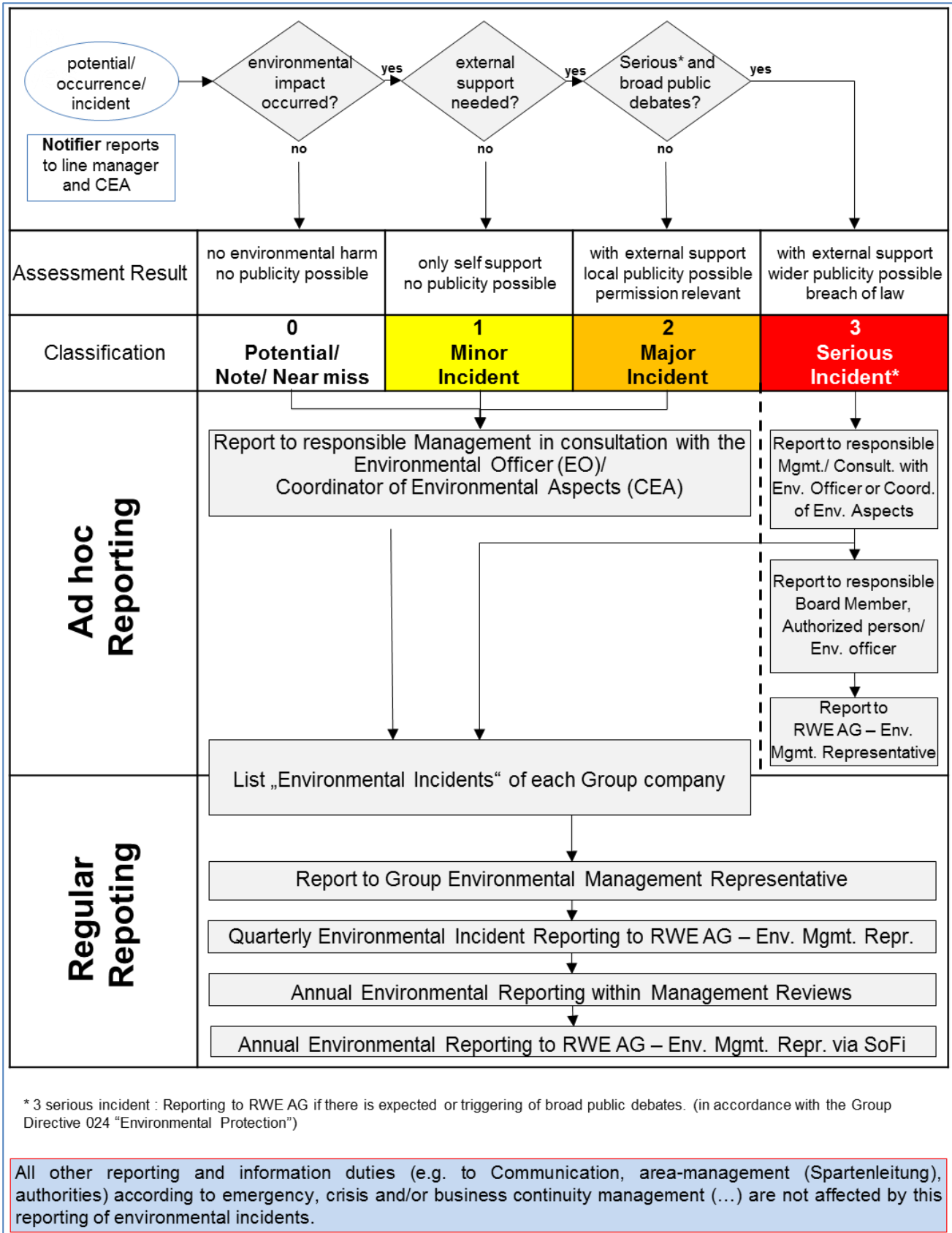
**Annex 3:** Integrated Sustainability Guidelines of RWE

**Annex 4:** Group-wide environmental targets of RWE AG

**9.1 Annex 1:** Environmental protection organisation at RWE and the included Group companies

<b>Group company</b>	<b>Executive Board Member responsible for environmental protection</b>	<b>Environmental Management Officer</b>	<b>Central Environmental Officers</b>
RWE AG			
RWE Renewables			
RWE Generation			
RWE Power			
RWE Supply & Trading			
GfV Gesellschaft für Vermögensverwaltung mbH			

9.2 Annex 2: Environmental Incident reporting scheme RWE



**Annex 2: Incident reporting scheme RWE**

Environmental incidents: definition and examples

<p><b>(0) near miss</b></p>	<p>A near miss is an unplanned environmental event that did not result in injury, damage or breach of law, but which has the potential to be a reportable environmental incident.</p> <p><u>Examples</u></p> <ul style="list-style-type: none"> <li>• Environmental incident without obligation to notify / report which was ruled with board instruments so that there are no or only small impacts on the environment.</li> <li>• No public involvement</li> <li>• Near miss with potentially significant up to serious impact on the environment.</li> <li>• Complains from the neighbourhood because of minor local inconvenience without exceedance of average value and without media involvement.</li> <li>• Exceedance of half-hour average value to be commentary reported to authority but without regulatory consequences</li> </ul>
<p><b>(1) minor incident</b></p>	<p>Relevant incidents A are events within the organisation/ site and can be managed/resolved independently (no public involvement). An incident with low up to medium impact on the environment.</p> <p><u>Examples</u></p> <ul style="list-style-type: none"> <li>• Environmental incident with obligation to notify / report but without regulatory consequences. Example: Exceedance daily average value to be commentary reported to authority but without regulatory consequences.</li> <li>• Complains from the neighbourhood to local authority without media involvement.</li> <li>• Complains from the neighbourhood because of noticeable harassment which are not reported to local authority but with regional media involvement.</li> </ul>
<p><b>(2) major incident</b></p>	<p>A major incident is an unplanned environmental event within the organisation/ site and causes an environmental impact. It can only be managed / resolved with external support (local public involvement). An incident with significant impact on the environmental obligation to notify / report (e.g. fines).</p> <p><u>Examples</u></p> <ul style="list-style-type: none"> <li>• It may lead to complains from the local neighbourhood.</li> <li>• May involve intervention by local or permit authorities (mandatory reporting of incidents, etc.)</li> <li>• Environmental incidents for its “control” external support was requested</li> <li>• Environmental incidents with obligation to notify / report as well as regulatory consequences.</li> <li>• Complains from the neighbourhood to local authority and with media involvement.</li> </ul>



	<ul style="list-style-type: none"> <li>Complains from the neighbour-hood because of noticeable harassment which is not reported to local authority but with nationally media involvement and consequences.</li> </ul>
<p><b>(3) serious incident</b></p>	<p>A serious incident is an unplanned environmental event within and/or outside the organisation/ site and causes a serious environmental impact. It can only be managed / resolved with external support, has relevance for the RWE group and involves wider media attention.</p> <p>Examples</p> <p>Every environmental incident that:</p> <ul style="list-style-type: none"> <li>damages the reputation of RWE in the public eye</li> <li>has an ecological impact with large public interest</li> <li>negatively affects budget/ profitability/ schedule</li> <li>triggers a non-compliance proceedings by local or permit authorities (e.g. administrative offence proceeding, etc.)</li> <li>environmental incident with obligation to notify / report as well major legislative consequences</li> <li>complains from the neighbour-hood which is reported to authority and with major media involvement and consequences (supra-national reporting by media).</li> <li>environmental incident with notification to the authorities and to control it, the inclusion of external support was necessary. (decentral or central crisis unit )</li> </ul>

**9.3 Annex 3: Integrated Sustainability Guidelines of RWE**

RWE has set itself sustainability targets and an [Ambition & Mission](#): “We are investing massively in the expansion of renewable energies. We are consistently reducing our CO2 emissions until we are climate-neutral by 2040”.

1. Compliance, Health and Safety, Environmental Protection, Energy Efficiency, Quality, Information Security and Corporate Security as well as Data Protection<sup>2</sup> are of high importance for us. We have established relevant management systems which are in line with recognised standards.
2. Each manager and employee is responsible for the compliance with these Guidelines in accordance with the [RWE Code of Conduct](#).
3. We comply with legal obligations and self-commitments, consider political developments and align our actions accordingly.
4. We continuously develop our approaches and processes to ensure a resource-conserving and future-oriented energy supply under the condition of economic efficiency. For this we set binding targets.
5. We consider relevant opportunities in our activities to increase value and identify risks to minimize them.
6. We provide the appropriate staff and financial resources to achieve our defined targets and evaluate our achievements on a regular basis.
7. We seek to improve ourselves continuously, e.g. using New Way of Working (NWoW). We assess the effectiveness and appropriateness of our intended integrated management system.
8. All injuries are avoidable. Occupational Health & Safety comes first.

(1) We want NO accidents!	(4) We keep our eyes open and do not look the other way!
(2) We will not work if the activity or work area is not safe!	(5) We treat contractors and RWE employees equally!
We all act as role models!	(6) We understand and comply with the expectations of our internal and external customers. We require the same from our contractors and partner companies.

9. We value the performance of our employees. We promote open communication and support company-wide and secure information exchange.
10. We develop and train our employees and strive for the sustainable increase of their awareness of our integrated management system.
11. We communicate openly about our business and ensure transparency with employees and codetermination, in the RWE Group and the public. We maintain the dialogue with neighbours, public authorities and stakeholders



Dr. Markus Kriebber



Dr. Michael Müller



Zvezdana Seeger

<sup>2</sup> See also GDI Data Protection Annex 7.1 “Guidelines for Data Protection”

**9.4 Annex 4:** Group-wide environmental targets of RWE AG

Environmental Targets	Definition	KPI
<p><b>Group-wide environmental management coverage:</b> Ensuring group-wide environmental management with a certified environmental management systems or appropriate auditing</p>	<p>Completeness of the implementation of an environmental management system according to ISO 14001: 2015 by</p> <ul style="list-style-type: none"> <li>- certified systems = 100% or</li> <li>- environmental management audits according to a defined test scheme</li> </ul> <p>x proportion of business units in employees (% of total workforce in FTEs) covered by this .</p> <p>Proof by certificate or environmental management audits in October / November.</p>	<p>100% environmental management system coverage</p>
<p><b>Number of serious environmental incidents:</b> No serious environmental incidents (category 3)</p>	<p>Number of environmental incidents category 3 (see Environmental Incident reporting scheme).</p> <p>Acquisition by internal reporting and consolidation in January.</p>	<p>0 serious environmental incidents</p>