

# **Rules of Procedure for the Complaint Procedure pursuant to § 8 para. 2 of the German Supply Chain Act (LkSG)**

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Pursuant to § 8 para. 1 of the LkSG, the organization must ensure, as part of the implementation of the LkSG, that an appropriate internal complaints procedure is in place in accordance with paragraphs 2 - 4 of § 8 of the LkSG. Pursuant to § 8 para. 2 of the LkSG, the organization must establish publicly accessible rules of procedure in this regard.

The procedure applies to human rights and environmental risks and breaches of duty as defined in § 2 paras. 2 and 3 LkSG.

## **1. Responsibility:**

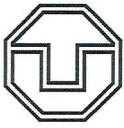
Within Dresden University Medicine and the subsidiaries of Dresden University Hospital, the Compliance Officer of the Compliance and Insurance Department acts as a contact and complaints office for reports within the scope of the LkSG. In its activities, the Complaints Office is impartial, independent, not bound by instructions and obliged to maintain confidentiality.

## **2. Reporting platform**

[www.bkms-system.com/CarusTransparent](http://www.bkms-system.com/CarusTransparent)

## **3. Protection of whistleblowers**

The reporting platform is accessible to potentially involved parties and offers the possibility to submit the report anonymously if desired. Nonetheless, it is still possible to communicate with the hotline via an anonymous mailbox. Confidentiality and identity shall be preserved. The person making the report will not be penalized or discriminated against as a result of the complaint. This does not apply to deliberately false reports.



#### 4. Procedure of the reporting process

- Reports are received by the Compliance Officer via the **whistleblower reporting system "Carus Transparent"** - anonymous or identifiable depending on the selection. The person providing the information will receive an acknowledgment of receipt in a timely manner - usually within 7 days - provided that they enable contact.

Alternatively, notification by email is possible at the following email address: **compliance@uniklinikum-dresden.de**

- The Compliance Officer first checks whether the complaint falls within the scope of this complaint procedure.  
If necessary and technically possible, the facts are discussed with the person providing the information. The case will be given to the department concerned for further processing, if necessary. Feedback on the processing of the matter will be provided to the Compliance Officer.
- If there is a possibility of making contact, the person making the report will be informed of the progress of the procedure by the complaints office within 3 months of receipt of the report. The objective is to provide a remedy for the complaint by taking appropriate measures. In the absence of a valid complaint, a remedy may be rejected by means of a statement of reasons.
- The effectiveness of the complaint procedure will be examined in accordance with the requirement of § 8 para. 5 LkSG.

The report and the progress in this regard will be documented.

As of: April 2023

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