STANDARDS FOR THE SOLAR IMPULSE "EFFICIENT SOLUTION" LABEL

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FOREWORD

CERTIFICATION OF THE STANDARDS

The standards for the Solar Impulse "Efficient Solutions" label, as further described and explained in this document, and the proper application of those standards, will be subject to certification by an independent auditor.

All stakeholders involved in the labelling process (World Alliance Members, the World Alliance Solution Team, the World Alliance Selection Group, External Experts) should be made aware and take note of these standards.

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1 INTRODUCTION

1.1 CONTEXT

Following the success of the first solar flight around the world, the Solar Impulse Foundation has launched the second phase of its action: selecting 1000 solutions that can protect the environment in a profitable way, and bring them to decision makers to encourage them to adopt more ambitious environmental targets and energy policies.

Governments, companies and institutions must urgently adopt more ambitious environmental and energy policies. They should stop compromising for minimal targets, but rather should base their negotiations and objectives on the reality of what clean profitable technologies can offer today. Not only for future generations, but for the current benefit of people, industry and the planet.

Through the World Alliance for Efficient Solutions¹ (the "World Alliance"), Bertrand Piccard wants to federate the actors in the field of clean technologies and shed light on existing efficient solutions to fast-track their implementation. A new innovative and pioneering adventure has begun – together we can improve the quality of life on Earth.

1.2 GOALS

The **Solar Impulse Efficient Solution label** is designed to shed light on existing solutions that are both clean and profitable and have a positive impact on quality of life.

NB: The label will only certify solutions developed and/or commercialized by the World Alliance Members.

A decision as to the attribution of the label will be made following a rigorous assessment based on our methodology and against several criteria performed by external independent Experts, and subsequently considered for selection by the World Alliance Selection Group (WASG).

All the labelling procedure resources and subsequent services are offered to the Members of the World Alliance entirely free of charge by the Solar Impulse Foundation which, thanks to the support of its Partners, provides operational funding to the World Alliance.

1.3 SCOPE

To enter into the scope to be considered for assessment, solutions must demonstrate their adherence to the following:

¹ The World Alliance for Efficient Solutions is an independent Swiss not-for-profit association, gathering Members that work together to create synergies, share knowledge and build relationships that speed-up the implementation of clean and profitable solutions which have the potential to address the environmental challenges of today.



- 1. Must be a Product, Process, or Service, developed or/and owned by the submitting entity which is a Member of the World Alliance i.e. a validated Member who signed the ethical charter of the World Alliance.
- 2. Contribute to the achievement of one or more of the five Sustainable Development Goals detailed below, and
- 3. Be at one of the stages of maturity indicated below.

Sustainable Development Goals:

<u>SDG 6:</u> Clean Water and Sanitation – Water production, water treatment, water distribution and use

<u>SDG 7:</u> Affordable and Clean Energy – Clean energy production, energy from waste, renewable fuels, energy distribution and management, energy storage

<u>SDG 9:</u> Industry Innovation and Infrastructure – Industrial processes, materials and chemistry, freight transportation, end-of-pipe industrial pollution management

<u>SDG 11</u> – Sustainable Cities and Communities – Urban and inter-urban mobility, communities' infrastructures, buildings and shelters

<u>SDG 12:</u> Responsible Production and Consumption – Agriculture and farming for food production, circular economy of solid wastes, primary resources management

Maturity

Solutions are considered eligible for assessment as soon as they have reached the testing stage in a laboratory (or in a "test" environment) at a 1:1 scale. We define 5 maturity stages to characterize the solutions to be labelled, A being the minimum maturity required to be eligible for undergoing the selection process.

A - Prototype testing 1:1 in a lab: Solution has been conceptualized and validated /or in improvement in an experimental environment or "laboratory" at scale 1:1. For a technology, it corresponds to TRL 6-7.

B - Prototype testing in the real world: Solution has been tested in its "final" version with a pilot/demonstration project in real life conditions. For a technology, it corresponds to TRL 7-8.

C - Initial market commercialization: Solution has been commercialized in an initial market. For a technology, it corresponds to TRL 9.

D - **Small scale commercialization**: Solution has been commercialized in the market and started to test its scalability in real conditions with external supports and involvements

E - Medium and large-scale commercialization: Solution is fully market ready and widely commercialized with clear outcomes of its impact measurable

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2 LABEL ATTRIBUTION PROCEDURE

2.1 GENERAL PRINCIPLES

The "Efficient Solution" label can be attributed to any solution that fits within the scope defined in section 1.3, that has been submitted by a Member of the World Alliance through the Solution Submission Form (SSF), and has been assessed in accordance with this methodology.

Both the assessment procedure and the attribution of the label strongly depend on the Member's ability to present a convincing explanation of their solution, supported by sources, facts and figures serving as evidence that it is both clean and profitable and meets the World Alliance's definition of an Efficient Solution (section 2.3).

Each candidate solution will be assessed by independent Experts on feasibility, life-cycle impact and business standpoints². The result of individual Expert's solution assessment forms (SAF) will serve as the basis on which the WASG will deliberate to whether or not attribute the label.

2.2 LIMITATIONS

All Members of the World Alliance for Efficient Solutions (the "World Alliance") have committed to the Charter, Statutes and Core Values of the World Alliance (the "Charter of the World Alliance"). By submitting solutions, Members expressly agree to be subjected to a reputation check to confirm that they (i) respect this commitment and (ii) are in compliance with the Charter of the World Alliance. To this end, the World Alliance shall be authorized (1) to request any information that it deems useful and necessary during the submission process to allow for such reputation check and (2) to share the collected information to partners companies of the Solar Impulse Foundation that can provide expertise on that aspect. The collected information shall solely be used to verify the compliance of the Member with the Charter of the World Alliance and shall not be taken into account during the selection process.

2.3 SELECTION CRITERIA

For the World Alliance, Efficient Solutions are not limited to the production of renewable energy. They can encompass products, services and processes that are profitable and sustain economic growth, while protecting the environment and optimising the use of natural resources.

The assessment methodology is designed to evaluate candidate solutions against several criteria before a decision is made by the World Alliance Selection Group. The assessment of the 3 criteria below by Expert constitutes the Efficient Assessment step of the labelling procedure.

² Solutions having indicated that they are already profitable will be exempted from being rated on the third criterion i.e. Economic Profitability

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Technological Feasibility

This criterion captures the ability of the solution to be credible (based on a resilient technology or concept) and captures if the solution is already or has the potential to be scaled up and deployed concretely in the real world (vs. in a laboratory environment) without adding constraints to the final user.

Environmental and Socio-Economic Benefits

This criterion captures the ability of the solution to have a direct positive impact on the environment **combined with** at least one direct or indirect socio-economic benefit, without any significant negative impact transferred.

The direct positive environmental impact can be quantitative or qualitative, and refers to the following environmental impacts and indicators: energy use, CO_2 emissions, water use, material use, air quality, ecosystems preservation.

The direct economic benefit refers to a percentage of annual monetary savings for the final user, consumer or any other stakeholder that could benefit directly from the application of the solution.

The indirect economic benefit refers to hidden social³ and economic gains that could benefit society as a whole on a broader scale.

The elements presented to assess the performance of the solution for this criterion can be qualitative or quantitative, but at least one quantitative element is required for both the environmental and the direct economic benefits. Quantitative elements can be based either on existing data, including solutions that are already implemented in the real world, or on anticipated and modelled data, such as prototype simulations. The assessment considers the entire lifecycle of the solution in comparison to other reference solutions that are acknowledged industry standards⁴.

Economic Profitability⁵

This criterion captures **the potential of a currently non-profitable solution** to become, profitable under a 5-year period, regarding its business model, its positioning toward its competition and innovativeness of the idea and the resources and experience of the team.

The score on this criterion will be given within the lens of the regulatory framework in place in the solution's region of application and on expert's assumptions on the possible evolution of this framework.

2.4 THE SELECTION PROCESS

The diagram below depicts the main steps of the assessment process and highlights at which stages the Experts intervene.

³ We define social benefits as any direct or indirect consequence of the solution's implementation that contributes to improving the quality of life of a community elsewhere than by concrete economic gains or environmental improvements. It includes: enhancing equity, creating/securing jobs along the value chain, strengthening social inclusion and cohesion, promoting transparency and empowering the poor and the vulnerable.

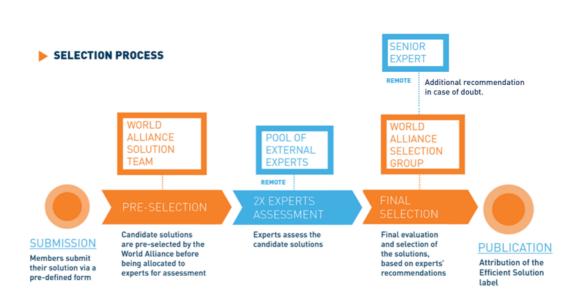
⁴ A standard reference should be a function whose technology, feature, or business model represents at least 40% of the current market, based on publicly available data. That being said, sometimes there will simply be no reference solutions already deployed in a given market.

⁵ Only for solutions that are not currently generating profits. Thus, the number of criteria to be scored by the experts during the assessment will vary from 2 to 3 and depend on the financial and commercial maturity of the entity submitting the solution.

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2.4.1 Submission

The submission of candidate solutions for assessment is open to and free for all Members of the World Alliance. Members can propose as many solutions as they wish, but are required to fill out one Solution Submission Form (SSF) per solution. Members are responsible for the veracity of the information provided in the SSF.

The Member can ask for support from the World Alliance Solution Team in order to submit a SSF which is as complete and accurate as possible. This support could prove especially worthwhile for providing data on the section which seeks to capture the impact of the solution compared to current industry standards. The Solution Team can also take the initiative to support a Member's application if it judges relevant to do so.

The information provided in the SSF are considered a minimum requirement for the experts to make the assessment. The member can be asked to provide further elements regarding specific aspect (competition, business model, materials...) that are sensitive for a particular solution. This complementary information request will take place later in the selection process via the anonymous online chat in the World Alliance web platform or via email in case a Senior Expert is involved to deliberate on the solution. All the information shared through this online chat or via the Expert account email (<u>experts@solarimpulse.com</u>) will be subject to the same confidentiality rules as the ones provided in the original submission form.

2.4.2 Pre-screening

When the SSF is considered complete and accurate by the World Alliance Solution Team, it is validated and assigned to appropriate technical Experts following the principles presented in the <u>Expert-Solution Matchmaking Rules</u>. The World Alliance team reserves the right to exclude those candidate solutions which do not meet a minimum standard of quality, are not within the scope as defined in section 1.3, or are otherwise deemed not fit for purpose.

Candidate solutions that do not enter into the eligibility scope and failed to pass the prescreening stage will be directly informed at this stage of the negative outcome of their

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application - and of the specific reason that resulted in such outcome - by the World Alliance Solution Team via the <u>solution@solarimpulse.com</u> email address.

2.4.3 Efficiency Assessment

General Rules for the Efficiency Assessment

Solutions vary greatly in their field of application and need to be assessed in a competent, balanced and impartial manner under the three criteria (Technological Feasibility, Environmental and Socio-Economic Benefits and Economic Profitability), while ensuring that the information remains confidential and avoids conflicts of interest. Therefore:

- To maintain confidentiality, only a synopsis of the SSF is shared with potential selected Experts that are chosen following the Matchmaking Rules. This summary allows them to confirm their interest and availability to perform or not the assessment. After internal approval, the Experts receive the complete Solution Submission Form (SSF).
- To avoid conflicts of interest, Experts who come from the candidate solution organization, as well as organizations excluded by the Member, will be ruled out.
- To support an impartial assessment, the organization of the candidate solution will not be disclosed to the Expert unless specifically requested by the Member for instance, when the Member includes its name in the SSF on purpose.
- To enable a competent and differentiated assessment, each candidate solution will be assessed by at least two Experts. The solutions are assigned to additional Experts until a minimum of 2 ratings with sufficient levels of confidence - either "Somewhat confident" or "Very confident" - is reached for each of the three criteria⁶. If this situation is not reached after receiving the assessment of a 4th expert, a Senior Expert assessment can be performed (see section *Cases for further evaluation*).

Deliverables from the Experts

Experts provide their ratings (1-2-3-4) on the criteria (section 2.3) and, complementary ratings on their confidence level regarding previously mentioned ratings, both supported by comments, explanations and background information in the Solution Assessment Form (SAF). A minimum of characters is expected for each comment to ensure enough in-depth explanation of their rating. Rating instructions can be found in the Efficiency Assessment Guidelines for Experts (EAG).

Each SAF needs to be completed and sent back to the World Alliance within two weeks after the Expert was officially assigned the solution⁷.

⁶A non-confident rating can be caused by a divergence between the Expert's domain of Expertise and the domain covered by the criterion, in this case a 3rd Expert will be affiliated to the solution for a new evaluation of this criterion and the others. As detailed above, this will continue until two complete assessments are performed with experts indicating sufficient confidence levels. Note that this third assessment will only be considered as a replacement rating exclusively for the criterion/a that was/were previously unconfidently rated by one of the previous experts.

⁷ Official assignment starts once the Expert has received the complete Solution Submission Form. If an Expert does not assess a solution they were assigned within the allotted time and does not react to reminders, they will be withdrawn from assessing this solution, which will be assigned to another expert.

Use of the online secured chat

The communication between the Expert and the solution provider regarding the additional information that is sought must occur within and is confined to the online chat, accessed via their secure profile on the Solar Impulse website. Each party sees the messages anonymously and all parties involved (several experts and Member) will have access to each other's' discussions. Conversations are saved/recorded and could be used during final deliberations as to the attribution of the label.

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Cases of further evaluation requirement:

If the original Expert ratings do not enable the World Alliance Selection Team to directly propose a final decision i.e. the assessment is considered as unusable. Several actions can be taken:

The Senior Expert Assessment

The following situations may be valid reasons – not enforcing reasons – to ask for further feedback and analysis from a Senior Expert:

- For one or more criterion, the rating from one Expert differs by two points or more from the rating attributed by the second Expert.
- The means of the criteria Feasibility and Environmental & Socio-Economic Benefits differ by two or more than two points (i.e. 4 and 4 for the first criterion 1 while 2 and 2 for the second).
- For one or more criterion, comments from the expert indicate a clear misapplication⁸ of the Expert Efficiency Assessment Guidelines that result in making the rating for this criterion unusable for the deliberation by the WASG.

The Senior Expert will be asked to rate one or several criterion(a) depending on the situation's needs and to provide comments to support its decision.

To do so he will have access to all the precedent assessments performed by the experts on the specific criterion(a) that need(s) a reassessment. He will also have access to the chat conversation and given the opportunity to ask some questions to the World Alliance Solution Team on the solution. The Solution Team will communicate to the Members via the <u>solution@solarimpulse.com</u> email address before sharing the complementary information back to the Senior Expert through the <u>expert@solarimpulse.com</u> email address.

The Senior Expert assessment for these/this criterion(a) will erase and replace the precedent one(s).

More details can be found in the Rules for Senior Expert Assessment document.

The Assessment Reopening

⁸ The misapplication can take two main forms:

⁻ The comments show that the experts did not take into account the aspects that should be included in the rating attribution of the criterion as stated in their definition (eg. several aspects to be included in one specific criterion should were spread across the wrong ones / were weighted twice)

⁻ There is a clear mismatch between the rating attributed and the comment of the expert implying that the severity in the score awarded does not meet the standards provided in the Efficiency Assessment Guidelines.



An Expert can be asked to reopen his/her assessment with possibility to change the comments and ratings **under the strict condition** that, for one or more criterion, the expert gave a rating with sufficient level of confidence while pointing sensitive point(s) and lack of

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provide an analysis with all elements in hand. **Under any other circumstances** the World Alliance Solution Team should ask an expert or a Senior Expert to modify the rating provided in its assessment form. Re-opening of an assessment is tolerated only and should be otherwise strictly reserved to give the opportunity to the Expert to rework its comments, so that they would be a more complete

important information in her/his comments, instead of using the online chat to be able to

and valuable feedback to share to the Member in his Assessment Summary Report.

2.4.4 Final selection

Once an assessment is considered usable by the World Alliance Selection team, the general rules are applied to check if ratings fit the following minimum requirement:

- The mean of scores for the Technological Feasibility and the Environmental & Socio-Economic Benefits criteria - given by two or more Experts - is 3 or greater,
- AND, for solutions that identify themselves as currently not profitable, the Economic Profitability score is 3 or greater - or between 2 and 3 (profitability "grey zone") but with a valid and assessed justification of this score in regard to possible legislations and other external hurdles that are aimed to be overcome by the World Alliance.

Minimum requirements are met:

Solutions that reached the minimum score or were in the profitability "grey zone" will be presented to the WASG for validation and/or discussion before official deliberation. The detailed rules for the WASG sessions are presented in the document <u>World Alliance Selection Group Rules and Information</u>.

Minimum requirements are not met:

Solutions that did not reach the minimum required scores will be presented to the Solar Impulse Foundation Chairman before they can be officially rejected. This step is used as a final verification that the procedure was well-followed by the different teams and stakeholders involved.

2.4.5 Publication

The grant date of the label is the date when the candidate solution is officially selected as an EFFICIENT SOLUTION by the World Alliance Selection Group.

Both rejected and labelled solutions receive a feedback in the form the Assessment Summary Report.

The labelled solutions will have their public fact sheet displayed on the Solar Impulse Foundation Website page https://solarimpulse.com/efficient-solutions.

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2.5 DATE AND DURATION OF THE LABEL

The label has no expiration date, but rather is linked to the month and year of its attribution. For example, if a label is attributed on 24 April 2018, it is labelled April 2018. With that in mind, it is to note that labelled EFFICIENT SOLUTION should always be viewed through the lens of the version of the standards for its year of attribution. For example, a solution labelled on 24 April 2018, will remain labelled by the 2018 version of the standards.

There is no plan to automatically review solutions that have already been labelled a Solar Impulse EFFICIENT SOLUTION. It is the Member's voluntary responsibility and decision to resubmit, or not, their solution at any given point. Finally, if the solution provider loses its Member quality within the World Alliance, it's label will also be withdrawn, with immediate effect.

3 INFORMATION FLOW AND COMMUNICATION

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3.1 INTERNAL AND EXTERNAL COMMUNICATION SUPPORTS

All the information exchanged and communicated by the World Alliance on the different support for the Efficient Solution label is described below:

Documents accessible to all the World Alliance Members: - The Standards for the Label Solar Impulse Efficient Solutions - The Solar Impulse Foundation Statutes	
 Documents accessible to all the registered Experts: The Standards for the Label Solar Impulse Efficient Solutions The Efficiency Assessment Guidelines for Experts The Expert Commitment Contribution and Conditions Additional document accessible to the Senior Experts only The Rules for Senior Expert Assessment 	
Internal Documents to the Solar Impulse Foundation's employees - The World Alliance Selection Group Rules and Information	

3.2 COMMUNICATION RIGHTS AND DELIVERABLES FROM THE SIF TOWARDS THE LABELLED SOLUTIONS

The Member will receive a personalized Solar Impulse "EFFICIENT SOLUTION" logo with the month and year of attribution of the label to their solution and as long as they remain a member of the World Alliance, communicate within the guidelines provided by the Solar Impulse Foundation, they may continue to use it as long as they see fit.

In addition, the Solar Impulse Foundation will offer - on a an individual and tailor made basis - communication and matchmaking/networking opportunities within the Foundation's network of Partners, as well as towards targeted governments, companies and institutions collaborating with World Alliance. by SOLARIMPULSE

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WORLD ALLIANCE for EFFICIENT SOLUTIONS

4 TERMINOLOGIES

This section contains the definitions of all acronyms used and of all terms that have a specific meaning within the context of the World Alliance and this document.

Entities

- The Pool of External Experts: These are the independent experts that are working with the World Alliance to perform the assessment of the solutions that are submitted. They are not remunerated for this task, and solution providers do not know the identity of the expert that has assessed their solution.
- The Solution Team: This team is responsible for providing support for the submission of solutions to be assessed, as well as ensuring that submissions are of the requisite quality before being passed on to experts for assessment.
- The World Alliance Selection Group (WASG): It is the body which has the responsibility to take the final decision regarding the attribution of the label to a solution submitted by a Member and assessed through the selection process. It is composed of staff from the World Alliance team, including the Director of the World Alliance, and representatives of the Solution Team, the Expert Management Team, the Outreach Team, the Communications Team and the Public Affairs Team. The WASG will meet once a week to deliberate on the solutions.
- The Pool of Senior Experts: It is the group of senior external Experts. Seniority is reflected by at least 10 years of professional or academic experience. Further details are given in the "Rules for Senior Expert Assessment" document.

List of supporting documents

- Efficiency Assessment Report (EAR): It is the final report containing the ratings and comments from the experts that were considered by the WASG to take the final decision regarding the attribution of the label to a solution. This report is systematically shared to the solution's owner.
- Solution Assessment Form (SAF): Each Expert reviews the SSF assigned to them, and then submits a SAF online that will include scores on the criteria, as well as comments and confidence ratings in support of the conclusions they have drawn during the assessment. This document then assists the WASG in its final deliberation on the "Efficient Solution" label attribution.
- Solution Submission Form (SSF): Each Member must submit one SSF per candidate solution which, once validated/internally approved by the Solution Team, is assigned to relevant Experts for assessment. It shall consist of good, relevant and referenced arguments on how well the solution meets the criteria, by answering the listed questions.



- Efficiency Assessment Guidelines (EAG): Guidelines provided to the Experts to support them with the assessment of the solution's compliance to the criteria (Technological Feasibility, Environmental & Socio-economic Benefits, Economic Profitability). It includes a description of the deliverables expected, definitions, guiding questions for each criterion and examples of ratings associated with comments.
- **Experts Roles and Conditions:** The document explains in detail the roles and responsibilities of Experts. In addition, it explains the registration process to become an Expert.

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5 ANNEXES

World Alliance for Efficient Solutions Charter

The World Alliance for Efficient Solutions was created at the initiative of the Solar Impulse Foundation following the success of the first solar airplane flight around the globe to federate the main actors in the field of sustainability and clean technologies and promote profitable solutions to protect the environment. It benefits from the media, political and institutional relations developed over the course of the Solar Impulse project.

This Charter lays out the principles and values which guide the World Alliance. All its Members accept to comply with this Charter and are held accountable to it, for as long as their relationship with the World Alliance exists.

1. Core Values of the World Alliance

All Members agree and accept to be held accountable to the following principles and values carried by the World Alliance:

- to work to improve the quality of life on Earth for all by tackling the challenges facing global society;
- to support solutions that are logical, more than just ecological; i.e. efficient solutions that would make sense even if climate change was not a factor;
- to embody a pioneering spirit, embrace new ways of thinking and doing to push back the boundaries of what is possible; and
- to recognize the World Alliance as an independent group of global actors, not bound by the interests of any nation, government, institution or industry.
- to adhere to the United Nations Sustainable Development Goals

2. UN Global Compact Principles

All Members agree to conduct their professional activities to the highest standards of honesty, integrity and fairness, in accordance with the United Nations Global Compact and its principles:

Human Rights

Principle 1: Businesses should support and respect the protection of internationally proclaimed human rights; and

Principle 2: make sure that they are not complicit in human rights abuses.

Labour

- Principle 3: Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining;
- Principle 4: the elimination of all forms of forced and compulsory labor;



- Principle 5: the effective abolition of child labor; and
- Principle 6: the elimination of discrimination in respect of employment and occupation.

Environment

- Principle 7: Businesses should support a precautionary approach to environmental challenges;
- Principle 8: undertake initiatives to promote greater environmental responsibility; and
- Principle 9: encourage the development and diffusion of environmentally friendly technologies.

Anti-Corruption

- Principle 10: Businesses should work against corruption in all its forms, including extortion and bribery.

All Members confirm that their executive management team Members support the above commitment.

3. Intellectual Property Compliance

All Members confirm that they commit to respect intellectual property rights of others.

4. Compliance with Laws

All Members acknowledge that the World Alliance is committed to carrying out its activities and promoting efficient solutions in compliance with all applicable laws and regulations, including anti-bribery, anti-corruption, counter-terrorism financing and anti-money laundering laws and regulations, as they may apply to the World Alliance; and that the World Alliance is committed to operating in conformity with economic or trade sanctions, restrictive measures, embargoes and asset freezing measures that are enacted, administered, imposed, or enforced by the Swiss Government, the European Union, the U.S. Department of the Treasury's Office of Foreign Assets Control and any other authority, by which the World Alliance is bound.

All Members understand that the World Alliance will not enter into relations or will terminate any relations with a Member whose activities or affiliation with would put the World Alliance in breach of any applicable laws and regulations by which it is bound.

5. Decisions of the World Alliance

All Members understand that all decisions and resolutions made by the World Alliance, in particular all decisions made by the Presidency and/or the Committee pursuant to the Articles of the Statutes of the World Alliance, shall be final, conclusive and binding on all persons, including the relevant Member(s) and that the World Alliance will in particular decide, in its sole discretion, whether to retain a proposed efficient solution or not. The Members undertake to comply with all decisions and resolutions made by the World Alliance.