

Self Assessment of HSEQ Systems



Dear Ladies and Gentlemen,

LANXESS is a leading supplier of specialty chemicals with turnovers of € 7.2 billion in 2018, and approx. 15,400 employees in 33 countries. At present, LANXESS operates 60 production plants worldwide. The core business is the Development, Manufacturing and Distribution of Chemical Intermediates, Additives, Specialty Chemicals and Plastics. LANXESS is a member of the leading sustainability indices Dow Jones Sustainability Index (DJSI World and DJSI Europe), and FTSE4Good as well.

As we are your partner, we very well understand your request for receiving an updated information about your supplier and his quality management system. Unfortunately, there has been a tremendous increase of this kind of inquiries, and we are no longer able to respond to each questionnaire both conscientiously and within an adequate period of time.

Therefore, we set up this self-assessment form which thoroughly describes our company, our business unit, and the quality management systems implemented. This document is reviewed at regular intervals and revised if necessary. It is valid without signature.

Should you require further information going beyond the scope of this self-assessment form, you are welcome to contact us.

For getting more information about our company, LANXESS Deutschland GmbH, please visit our website <http://www.lanxess.com>. There, you will find the LANXESS Guidelines for HSEQ Management under Corporate Responsibility/ Sustainability/ Quality and Environmental Management for downloading.

With best regards

LANXESS Deutschland GmbH
Business Unit Liquid Purification Technologies

March, 2019

Xandra Haslinger
Environmental and Quality Stewardship, REACH

This document is valid without signature.

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1. General Information about the Company

Name of the Company, Address

Headquarters

LANXESS Deutschland GmbH
 Business Unit Liquid Purification Technologies
 Kennedyplatz 1
 50569 Cologne - Germany

Total size of premises: approx. 7.400 m² (Leverkusen)
 approx. 50.000 m² (Bitterfeld)
 approx. 35.200 m² (Jhagadia)

Built-up area: approx. 7.400 m² (Leverkusen)
 approx. 12.000 m² (Bitterfeld)
 approx. 18.400 m² (Jhagadia)

DUNS number: 31-546-4482

Managing Director: Bettina Blottko

Phone: 0049 (221) 8885 0

Websites: <http://www.lpt.lanxess.de>
<http://www.lpt.lanxess.com>
<http://www.lanxess.com>

Number of employees: approx. 530 worldwide

LANXESS Companies	Production sites
LANXESS Deutschland GmbH	Chemiepark Leverkusen Building B 3 D - 51369 Leverkusen
IAB Ionenaustauscher GmbH Bitterfeld	Salegaster Chaussee 1 OT Greppin D - 06803 Bitterfeld-Wolfen
LANXESS India Private Limited	Plot no: 748, GIDC Jhagadia, Baruch Gujarat 393110 - India

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2. Business Unit LPT

The Liquid Purification Technologies (LPT) Business Unit has been one of the most important suppliers of water and liquid media solutions and products for more than 80 years.

LANXESS is one of only two companies in the world that offers know-how and products for Ion Exchange Resins as well as RO Membrane elements from a single source. We maintain production facilities at the Leverkusen and Bitterfeld (Germany) sites as well as in Jhagadia (India).

With Lewatit[®] Ion exchange Resins, Bayoxide[®] Iron oxide Adsorbers and Lewabrane[®] RO membrane elements, LANXESS has a leading position in the development and production of three premium separation technologies for water treatment, desalination and treatment of process streams.

3. Contacts

Areas	Name	Mail Address
HSEQ REACH Quality Management	Xandra Haslinger	xandra.haslinger@lanxess.com
HSE Management	Armin Turowski	armin.turowski@lanxess.com
Energy Management	Frank Zimmermann	frank.n.zimmermann@lanxess.com

If you have questions regarding HSE/ HSEQ/ QM/ REACH please be so kind to contact your local LANXESS affiliate. They will be happy to forward your inquiry to our headquarters.

All sites are operating under the LANXESS Quality Management System.

If you have questions about certifications, please inform yourself on our websites www.lanxess.com, www.lpt.lewatit.de or www.lpt.lanxess.com.

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4. Quality Management, Integrated System HSEQ

Item	Response	Remarks
Is there a quality and environmental policy formulated in writing, which is been brought to the attention of all employees?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS Policy
Has LANXESS Deutschland GmbH got a certificate according to EN ISO 9001:2015?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS Global Matrix Certificate
Is a written documented quality management system in place at all sites?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is there a quality management manual in place?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS and LPT manuals, local documentations
Are there written procedures and working instructions?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS and local
Is there a procedure in place regarding labelling and traceability?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is there a written procedure for the handling of complaints at all sites?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	AprilStar
Does the LANXESS Deutschland GmbH checks the satisfaction of their customers regularly?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Every 18 – 24 months
Does LANXESS Germany GmbH principally agree to the possibility of customer audits?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	By prior appointment
Have the suppliers of LANXESS Germany GmbH been qualified according to a written procedure?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Have the suppliers of LANXESS Germany GmbH been committed to implement and maintain a quality management system?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are there unambiguous agreements with suppliers in place with regard to quality and form of delivery?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Has LANXESS Deutschland GmbH got a certificate according to EN ISO 14001:2015?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS Global Matrix Certificate
Are there written procedures for the environmental management?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is the creation and maintenance of risk defense plans	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LXS Guidelines

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Item	Response	Remarks
at LANXESS regulated?		and procedures
Is the compliance with emergency plans assured through regular trainings and emergency drills?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS and local
Has LANXESS Deutschland GmbH got a general product liability insurance?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are the employees trained in issues of quality and environmental management, and is this documented?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are internal audits carried out on quality and environmental management on a regular basis?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is there a methodology according to which the results of internal and external audits are monitored?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Triple A
Has LANXESS Deutschland GmbH got a certificate according to ISO 50001:2011?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LXS Certificate for the German sites
Is there a policy to reduce the negative impact on the environment and to handle the consumption of energy responsibly?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS Policy
Is there a certificate according to ISO TS 16949?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Has the Business Unit LPT got a certificate ac. to BRC Global Standard and/or EN ISO 22000 for some or all of their products, which are used in the food industry?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Has the LANXESS Deutschland GmbH, specially the Business Unit LPT, been registered as a pre-qualified supplier by Achilles?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	Currently not
Has the LANXESS Deutschland GmbH, specially the Business Unit LPT, got a confirmation of suitability according to Rule KTA 1401?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	03.2019 expired, will not be renewed

4.1 Sustainability, Ethical Standards and Social Responsibility

Item	Response	Remarks
Has a guideline been published within the company covering ethically correct business practices (e.g. UN Global Compact)?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS is a member
Has LANXESS Deutschland GmbH signed the Responsible Care Global Charter of the International	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	

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Item	Response	Remarks
Council of Chemical Associations?		
Has the Initiative "Together for Sustainability" been communicated within the company?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS is one of the founding members
Has the LANXESS Deutschland GmbH got guidelines for a global quality, safety, climate and environmental management?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
LANXESS is familiar with the EcoVadis assessment for Corporate Social Responsibility?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Has an assessment been performed by EcoVadis?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
If yes, which level, score and status were obtained?	Score: 72 Level: Advanced Status: Gold	Valid for LANXESS and its affiliates for 2018/ 2019
Has the financial standing of the LANXESS AG been rated? If so, what is the result?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Standard & Poor's: BBB Moody's: Baa2 Scope Rating: BBB+
Is it ensured that the rights of employees are respected, and that occupational safety standards are met?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Has a code for legal compliance and corporate responsibility been announced to all employees, and does this code ensure that applicable laws are observed?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Does the LANXESS Deutschland GmbH register and measure the Key Performance Indicators (KPI) in the areas of health, ecology and safety?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Quarterly
This will be documented and if so, where?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS internal system
Does the LANXESS Deutschland GmbH generate an annual environmental report on the basis of these data?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Annual report

4.2 Regulatory Issues / Safety of Chemicals

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Item	Response	Remarks
Are product specifications available for all products of the LANXESS Deutschland GmbH?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are there material safety data sheets for all products according to the regulations VO 453/2010 or 1907/2006/EC, if necessary?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Have the chemical ingredients the LANXESS Deutschland GmbH uses for production been registered according to REACH (1907/2006/EC)?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are polymers subject to registration under the REACH regulation?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Are all monomeric components and auxiliary materials used for the production of Ion Exchange Resins sourced from registered sources?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are all suppliers of LANXESS Deutschland GmbH checked whether a pre-registration or registration in accordance with REACH regulation exists?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is there a regular review of the candidate list of SVHC substances?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Has it been ensured that the LANXESS Deutschland GmbH has implemented the CLP Guideline (1272/2008/EC) on time?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are packaging materials for ion exchange resins in accordance with the Regulation 1935/2004/EC*? [* materials and articles intended to come into contact with foodstuffs]	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are for food grade materials product-related manufacturer declarations available on request?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Do LANXESS Ion Exchange Resins contain substances being above the limits laid down in the RoHS EU Regulation 2011/65?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Are Ion Exchange Resins subject to CE labeling according to the EU Regulation no. 765/2008?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Do LANXESS Ion Exchange Resins contain conflict minerals the Dodd-Frank Act refers to?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Do LANXESS Ion Exchange Resins contain substances which represent a risk of TSE/BSE?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	

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Item	Response	Remarks
Do LANXESS Ion Exchange Resins contain allergens according to annex II of the EU regulation 1169/2011?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Do LANXESS Ion Exchange Resins contain substances originating from genetically modified organisms?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Do LANXESS Ion Exchange Resins contain substances in the Nano range as it is described in Article 3 of the EU Regulation no. 1907/2006?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Is there a Kosher Certificate (including Passover) available?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is there a Halal Certificate (including MUI and JAKIM) available?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	All sites
Are the products of LANXESS Deutschland GmbH, if requested, listed in the respective chemical inventories?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is there a documented HACCP plan, including flow diagrams and description of the risk analysis and critical control points (CCP) for the BU LPT?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
If CCP have been identified, are these monitored regularly?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is there a HACCP team ?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is the HACCP system updated regularly? If yes, how often?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Annually
Is the HACCP system certified?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	Internal document

4.3 Safety

Item	Response	Remarks
Is any access to LANXESS sites exclusively given to authorized persons, and is this subject to registration and documentation?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are there concepts at all sites for plant safety comprising ordinary production, run-up and shut down of plants, cleaning, maintenance and possible failures?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is there an assessment of any modification of the	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	

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Item	Response	Remarks
construction of plants with respect to plant safety?		
Is the access to production plants restricted to operating personnel only?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are the production staff regularly trained with regard to compliance with safety regulations?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are the employees equipped with the necessary personal protective equipment as appropriate for the chemical industry?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	

4.4 Health

Item	Response	Remarks
Does the production staff undergo regular medical check-ups?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Local legal requirements apply
Is there a concept for the monitoring of facilities according to aspects of noise protection?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Local legal requirements apply
Are there regular trainings held to the employees how to handle hazardous materials, and do these get documented?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Local legal requirements apply

5. Goods receiving

Item	Response	Remarks
Is there a procedure for approval of suppliers?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are all raw materials received registered and labeled with separate lot numbers?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is there a goods inwards inspection on all raw materials received?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are raw materials formally released for use after they have passed the test?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are all material entries and their quality status recorded by a computer system?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	

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6. Storage

Item	Response	Remarks
Are all raw material entries checked for integrity?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Partly external storage
Do the materials get stored only after a successful check on their integrity?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Partly external storage
Are there appropriate storage areas assigned to the raw materials?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Partly external storage
Are hazardous substances stored separately according to their hazard potential?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are all storage locations adequately secured against unauthorized access?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is the storage guaranteed in accordance with statutory rules for chemicals?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Local legal requirements apply
Are non-conforming products correspondingly labeled and separately stored?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is it ensured that only approved goods can be removed from the storage area?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Documentation in SAP
Is there an individual lot number assigned to all raw materials so that full lot traceability can be assured?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	

7. Production

Item	Response	Remarks
Is ensured by means of a documented system that only approved raw materials are used for production?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is the manufacturing performed in plants that have been proven to be appropriate for their use?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is the production process carried out in accordance to documented rules that are available to employees at the workplace during production?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	

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Item	Response	Remarks
Is production performed continuously?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	24/7
Is it a batch production?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is it possible to trace a product and its date of production on the basis of batch numbering?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	CHX00001 [CH = Chemicals, X = year + running no.]
Are there written procedures for the changeover of products and the cleaning of the equipment?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is the cleanliness of the equipment checked following a cleaning?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are the individual steps of production monitored during the process of production, and this is documented?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Get LANXESS ion exchangers manufactured in accordance with US cGMP?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Are LANXESS ion exchangers of food grade quality manufactured by the requirements of the EU Regulation 2023/2006 (GMP)?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	

8. Quality Control

Item	Response	Remarks
Are the tests carried out following written procedures?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Have these methods been taken from official norms?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are employees trained in the use of these methods and this is traceable by written documentation?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Does the BU LPT keep retain samples of the produced materials?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	3 years
Have own laboratory methods, if they differ from the official ones, been validated against those, and is this documented?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are all checks which have been carried out shown on the certificate of analysis?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	

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9. Product release and Shipment

Item	Response	Remarks
Is the release of production batches carried out by a quality control being independent from production?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is there a binding process of regulating the use of materials that are off specification?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are all finished goods manufactured by the LANXESS Deutschland GmbH labelled in accordance with the CLP directive?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is the shipment of hazardous substances carried out according to legal regulations?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Local legal requirements apply
Is it ensured that the material used for the packaging of a product corresponds to the regulations 1935/2004/EC and 2023/2006/EC?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Can it be assured that the hauliers entrusted with the transport of goods are supplied with the necessary documentation?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	