

## Self-Assessment of the HSEQ System



Dear Ladies and Gentlemen,

LANXESS is a leading specialty chemicals company that generated sales of EUR 6.4 billion in 2024 and currently employs around 12,000 people in 32 countries. The core business is the development, manufacture and sale of chemical intermediates, additives and consumer protection products.

Combined in the Liquid Purification Technology business unit, LANXESS is one of the world's leading manufacturers of ion exchange resins as well as a solution provider for water treatment and liquid purification with excellent technical know-how and customer service. For more than 80 years, our Lewatit® ion exchange resins and Bayoxide® iron oxide adsorbers have been used in numerous industries for the treatment and purification of water and other liquid media.

We have set ourselves the goal of meeting uniform global standards in terms of quality, environmental protection and safety in order to sustainably develop LANXESS. To monitor these efforts, we have established a centrally coordinated global management system. We are ISO 9001, 14001 and 50001 certified.

In line with our commitment to the environment, sustainability and social issues, we are listed in the leading sustainability indices such as the Dow Jones Best-in-Class World Index, MSCI, ISS ESG and CDP (<https://lanxess.com/en/sustainability/references/indices-and-ratings>).

As the responsible partner of our customers, we have also compiled the supplier self-disclosure form presented here in order to provide you with comprehensive information on numerous questions relating to our HSEQ management system.

This document is regularly checked to ensure that it is up to date and adjusted if necessary. It is valid without a signature. If you need further information beyond the facts presented here, please feel free to contact us.

Furthermore, you can find more information about our company and our certifications on our homepage <https://www.lanxess.com> and <https://www.lpt.lanxess.com>.

Best regards,

LANXESS Deutschland GmbH  
Business Unit Liquid Purification Technologies

April 2025

Dr. Kim Julia Hintze  
QA & Sustainability Manager

# Self-Assessment of the HSEQ System



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## Content

1. General Information Business Unit LPT	3
2. Contact Person	3
3. Quality Management, Integrated System HSEQ	4
3.1 Sustainability, Ethical Standards and Social Responsibility	6
3.2 Regulatory Issues / Chemical Safety / Certifications	8
3.3 Safety	10
3.4 Health	10
4. Goods Receipt	11
5. Storage	11
6. Production	12
7. Quality Control	13
8. Product Release and Dispatch	13

## Self-Assessment of the HSEQ System



### 1. General Information Business Unit LPT

#### Headquarters

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

#### Production Sites

LANXESS Deutschland GmbH  
Leverkusen Chemical Park  
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

### 2. Contact person

Range	Name	Email
Quality Management / REACH / Sustainability	Dr. Kim Julia Hintze	kimjulia.hintze@lanxess.com
Head of Global HSEQ	Dr. Axel Lache	axel.lache@lanxess.com

If you have any questions regarding HSE/ HSEQ/ QM/ REACH, please feel free to contact your local LANXESS affiliate, who will forward your request to our headquarters if necessary. Please also visit our website for information on our certifications (<https://www.lpt.lanxess.com> and <https://www.lanxess.com>).

## Self-Assessment of the HSEQ System



### 3. Quality Management, Integrated System HSEQ

Topic	Response	Remarks
Is there a written quality and environmental policy that has been brought to the attention of all employees?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Lanxess Policy
Is there a certification according to EN ISO 9001:2015?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS Global Matrix Certificate
Is there a documented QM system in all plants?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is there a QM manual?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS and LPT manual, local documentation
Are there written procedural and work instructions?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS and local
Is there a procedure regarding labelling and traceability?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is there a written procedure for handling complaints at all locations?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Complaint DB
Does LANXESS Deutschland GmbH regularly record the satisfaction of its customers?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	every 18 – 24 months
Does LANXESS Deutschland GmbH agree in principle to the possibility of a customer audit?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	by prior arrangement
Are the suppliers of LANXESS Deutschland GmbH qualified according to a written procedure?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are the suppliers of LANXESS Deutschland GmbH obliged to introduce and maintain a quality management system?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Have clear agreements been made with the suppliers regarding quality and delivery form?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is there a certificate according to EN ISO 14001:2015?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS Global Matrix Certificate
Are there written procedural instructions for environmental management?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is the creation and maintenance of hazard prevention plans regulated at LANXESS?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LXS Guidelines LXS Instructions
Is compliance with the emergency plans ensured by regular training and emergency drills?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS and local

## Self-Assessment of the HSEQ System



Topic	Response	Remarks
Does LANXESS have general product liability insurance?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are employees trained in quality and environmental management and is this documented?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are internal audits for quality and environmental management carried out regularly?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is there a methodology used to monitor the results of internal and external audits?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Audit database
Is there a certificate according to ISO 50001:2018?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS certificate for the German sites
Is there a policy to reduce the negative impact on the environment and to use energy responsibly?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS policy
Is there a certificate according to ISO TS 16949 / IATF 16949:2016?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Is there a certificate in accordance with the BRC Global Standard or EN ISO 22000 for products of the Business Unit LPT used in the food industry?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	

## Self-Assessment of the HSEQ System



### 3.1 Sustainability, Ethical Standards and Social Responsibility

Topic	Response	Remarks
Is there a guideline on ethically correct business practices published in the company (e.g. UN Global Compact)?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS is a member
Has LANXESS signed the Responsible Care Global Charter of the International Council of Chemical Associations?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Does LANXESS have guidelines for global quality, safety, climate protection and environmental management?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Has LANXESS formulated its own climate targets?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Climate neutrality by 2040
Are LANXESS' climate targets in line with the Paris Climate Agreement?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Endorsed by the Science Based Targets Initiative (SBTi)
Are LPT products certified according to the ISCC Plus sustainability standard?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	For more information, please contact us
Is the program of the Together for Sustainability (TfS) initiative known in the company?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS is one of the co-founders
Has an assessment of sustainable management been carried out by the international climate protection initiative CDP?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	"A" List in 2024
Has an EcoVadis Corporate Social Responsibility assessment been conducted?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Score: 80 Status: Gold Applies to LANXESS and all subsidiaries in 2024
Is LANXESS listed in the Dow Jones Best-in-Class World Index?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	1st place in the Dow Jones Sustainability Index Europe, 4th place worldwide in the "Chemicals" category in 2024 Score: 79

## Self-Assessment of the HSEQ System



Topic	Response	Remarks
Is LANXESS listed in the ISS ESG rating?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	"Prime" rating since March 2020, confirmed in 2021, 2022, 2023 and 2024
Is LANXESS listed in the MSCI ESG rating?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	AA-Rating since June 2021, has been confirmed in 2022, 2023 and 2024
Is the creditworthiness of LANXESS AG assessed? If so, what is it?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Moody's: Baa3 (11/2024) Scope Rating: BBB- (02/2025) <a href="https://lanxess.com/en/investors/credit-or-relations/rating">https://lanxess.com/en/investors/credit-or-relations/rating</a>
Is it ensured that employees' rights are respected and 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"/>	see <u>Code of Conduct</u>
Does LANXESS Deutschland GmbH record key performance indicators (KPIs) in the area of health, ecology and safety?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	quarterly
Is this documented and if so, where?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	LANXESS internal system
Does LANXESS Deutschland GmbH prepare an annual environmental report based on this data?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	Group Report

## Self-Assessment of the HSEQ System



### 3.2 Regulatory Issues / Chemical Safety / Certifications

Topic	Response	Remarks
Are product specifications available for all LANXESS Deutschland GmbH products?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are safety data sheets available for all products in accordance with Regulation (EC) No. 1907/2006 and any subsequent amendments, if necessary?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Have the feedstocks used by LANXESS Deutschland GmbH been registered in accordance with REACH (1907/2006/EC)?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	see <a href="#">REACH Statement</a>
Are polymers subject to registration under the EU REACH Regulation?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Are all monomeric components and excipients used in the production of ion exchange resins sourced from registered sources or self-registered?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are all suppliers of LANXESS Deutschland GmbH checked to ensure that a (pre-) registration in accordance with the 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"/>	see <a href="#">SVHC Declaration</a>
Has LANXESS Deutschland GmbH ensured timely implementation of the CLP Directive (1272/2008/EC)?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are packaging materials for the ion exchange resins in line with Regulation 1935/2004/EC?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are product-related manufacturer's declarations available for food-grade materials upon request?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Do LANXESS ion exchange resins contain substances above the limit values specified in the RoHS Directive 2011/65/EU?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Are ion exchange resins subject to CE labeling in accordance with Regulation (EC) No. 765/2008?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	

## Self-Assessment of the HSEQ System



Topic	Response	Remarks
Do LANXESS ion exchange resins contain conflict minerals in accordance with the Dodd-Frank Act?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Do LANXESS ion exchange resins contain substances that pose a TSE/BSE risk?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Do LANXESS ion exchange resins contain allergens in accordance with Annex II of EU Regulation 1169/2011?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Do LANXESS ion exchange resins contain substances from genetically modified organisms?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Do ion exchange resins contain substances at the nanoscale as described in Annex VI to Regulation (EC) No. 1907/2006?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Is there a Kosher certificate (including passover)?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is there a Halal certificate?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	all sites
Are LANXESS Deutschland GmbH products listed in the respective chemical inventories, if necessary?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is there a documented HACCP plan for the BU LPT, including flow diagrams and description of the hazard analysis and critical control points (CCP)?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
If CCP's have been identified, are they regularly monitored?	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 regularly revised? If yes, how often?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	annual
Is the HACCP system certified?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	internal document

## Self-Assessment of the HSEQ System



### 3.3 Safety

Topic	Response	Remarks
Is access to the sites secured, i.e. is access only allowed to authorized persons and is this documented?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are there plant safety concepts at all locations that include normal operation, the start-up and shutdown of the plants, cleaning, maintenance and reaction to possible faults?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are changes of a structural nature recorded and evaluated with regard to plant safety?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are production employees regularly trained on how to comply with safety measures?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are employees equipped with the necessary personal protective equipment appropriate for companies in the chemical industry?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	

### 3.4 Health

Topic	Response	Remarks
Are production employees regularly medically examined?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	in accordance with local legal regulations
Is there a concept for monitoring the systems according to noise protection aspects?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	in accordance with local legal regulations
Are there regular noise protection instructions for all production employees? If necessary, are measurements/calculations made for so-called reference points outside the factory premises?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are there regular employee training courses on how to handle hazardous substances and is this documented?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	in accordance with local legal regulations

## Self-Assessment of the HSEQ System



### 4. Goods Receipt

Topic	Response	Remarks
Is there a procedure for approving suppliers?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are all incoming goods recorded electronically?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is an incoming goods inspection carried out, also for integrity?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are raw materials formally released after the test has been completed?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is the quality status of all incoming goods recorded electronically?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	

### 5. Storage

Topic	Answer	Remark
Will the storage only take place after a documented examination of the integrity?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	partially external storage
Are hazardous substances in transportable containers stored separately according to their hazard potential?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	according to TRGS 510
Are all storage locations adequately secured against unauthorized access?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is storage ensured in accordance with local legal regulations for chemicals?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is it ensured that only released goods can be removed from the warehouse?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	documentation in SAP

## Self-Assessment of the HSEQ System



### 6. Production

Topic	Response	Remarks
Is it ensured that only raw materials that meet the contractually agreed specification are used for production?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is production carried out in suitable and checked facilities?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is production carried out according to documented regulations that are accessible to employees at the workplaces during production?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is production carried out in shifts?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	5 shifts, 24/7
Is it a batch production?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Can the batch numbering be used to draw conclusions about the product and date of manufacture?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	CHX00001 [CH = Chemicals, X = Year + Serial No.]
Is the cleanliness of the equipment checked after cleaning?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are the individual steps of production monitored during the production process and is this documented?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are LANXESS ion exchange resins manufactured according to US cGMP?	yes <input type="checkbox"/> no <input checked="" type="checkbox"/>	
Are LANXESS ion exchange resins for the food grade sector manufactured in accordance with the requirements of EU Regulation 2023/2006 (GMP)?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	

## Self-Assessment of the HSEQ System



### 7. Quality Control

Topic	Response	Remarks
Are the tests carried out using written methods?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are these methods in accordance with official standards?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are the employees trained in the use of these methods and can this be proven by written documents?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are retention samples kept?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	3 years
Are own laboratory methods, if they deviate from the official procedures, based on official standards and is this documented in writing?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are the results of the tests carried out shown on the Certificate of Analysis?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	as specified in the technical data sheet

### 8. Product Release and Dispatch

Topic	Response	Remarks
Is the release of production batches carried out by quality control independent of production?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is there a binding process that regulates the handling of materials that are outside the specification?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Are LANXESS Deutschland GmbH products labelled in accordance with the CLP directive?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Does the shipping of hazardous substances take place in accordance with local legal requirements?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is it ensured that the material used for the packaging of a product complies with regulations 1935/2004/EC and 2023/2006/EC?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	
Is it ensured that the forwarders commissioned with the transport receive the necessary accompanying documents?	yes <input checked="" type="checkbox"/> no <input type="checkbox"/>	