

Policy regarding Safety and Environment

EHS-004

Version 1.1

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1. Version

This version of the policy replaces version 1.0.

2. Scope

This policy is applicable for ALTANA AG and all affiliates with controlling share (majority participation).

3. Purpose

Assure that ALTANA's policies as to Environment, Health and Safety are known and applied by all employees.

4. Responsibilities

General Managers of the legal entities are responsible for compliance with and implementation of this policy.

5. Process Description

In ALTANA's Identity ALTANA emphasizes its commitment under "Our Strategy":

"ALTANA's corporate duty is care for the health and safety of our employees and to protect the environment. ALTANA views sustainability as a triad consisting of economy, ecology and social responsibility.

The principles are a "mandatory basis for joint, goal-oriented actions".

Furthermore ALTANA supports the following self-commitments (appendix II and III):

- "Responsible Care" by the worldwide chemical industry associations
- "Global Compact" by the United Nations

This printout is not subject to revision.
Only the latest Intranet version is valid.

1. Version

Diese Version ersetzt Version 1.0.

2. Geltungsbereich

Diese Richtlinie gilt für die ALTANA AG und alle Tochtergesellschaften mit Mehrheitsbeteiligungen.

3. Zweck

Die Richtlinien der ALTANA, zum Thema Umwelt- und Gesundheitsschutz und Arbeitssicherheit, sind bekannt und werden von allen Mitarbeitern angewendet.

4. Zuständigkeiten

Die Geschäftsführer der jeweiligen Unternehmen sind für die Einhaltung und Umsetzung dieser Richtlinie verantwortlich.

5. Prozessbeschreibung

Im ALTANA Leitbild unterstreicht ALTANA sein Engagement unter "Unsere Strategie":

"Es ist die unternehmerische Pflicht von ALTANA, die Umwelt und die Gesundheit unserer Mitarbeiter zu schützen sowie ihre Sicherheit zu gewährleisten. ALTANA versteht Nachhaltigkeit als Dreiklang aus Ökonomie, Ökologie und gesellschaftlicher Verantwortung". Diese Grundsätze sind eine "verbindliche Basis für ein gemeinsames, zielgerichtetes Handeln".

Weiter unterstützt ALTANA die folgenden Selbstverpflichtungen (Anlage II und III):

- „Responsible Care“ des weltweiten chemischen Hauptverbandes
- „Global Compact“ der Vereinten Nationen

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Gültig ist allein die aktuelle Intranetversion.

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For further guidance ALTANA has formulated a respective "Sustainability, Environmental, Health & Safety Policy of ALTANA AG" (appendix I). This policy has to be signed by all Managing Directors, Presidents, CEOs of the ALTANA companies as sign of their support.

They have to make sure that

- this policy is known to all their employees
- the policy is applied and lived in their organization.

The issues formulated in the ALTANA Policy are minimum requirements. Additional aspects can be added in specific company policies.

In case of a change of the ALTANA Policy or a new Managing Director in a company ALTANA Corporate EH&S initiates the signing of the policy via the Division President. The signed policy is sent back to ALTANA Corporate EH&S and documented there.

6. Documentation

The signed policies are documented by ALTANA Corporate EH&S.

Zur weiteren Orientierung hat ALTANA eine entsprechende Richtlinie "Umwelt, Gesundheit und Arbeitsschutzpolitik und Nachhaltigkeit der ALTANA AG" (Anlage I) formuliert. Diese Richtlinie muss von allen Geschäftsführern, Präsidenten und CEOs der ALTANA verbundenen Unternehmen als Zeichen ihrer Unterstützung unterzeichnet werden.

Sie müssen dafür sorgen, dass

- diese Richtlinie allen Mitarbeiter bekannt ist
- diese Richtlinie angewendet und gelebt wird in ihrer Organisation

Die in der ALTANA Richtlinie formulierten Aspekte sind Mindestanforderungen. Weitere Aspekte können in bestimmten Unternehmensrichtlinien hinzugefügt werden.

Im Falle einer Änderung der ALTANA Politik oder eines neuen Geschäftsführers in einem Unternehmen initiiert ALTANA Corp. EH&S die Unterzeichnung der Richtlinie über die Geschäftsbereichsleiter. Das unterschriebene Dokument wird zurück an ALTANA Corp. EH&S geschickt und dokumentiert.

6. Dokumentation

Die unterschriebenen Erklärungen werden bei ALTANA Corp. EH&S verwaltet.

Edited:	Daniela Penailillo, 27.04.2017
Audited:	Stephan Reuter, 21.06.2017
Approved:	Dr. Christoph Schlünken, 22.06.2017

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Appendix/Anlage I: Environment, Health & Safety Policy of ALTANA

ALTANA AG Principles and Objectives include the following statement:

"We want to ensure, by taking a highly responsible attitude, that neither our products nor our working practices do any harm to people or the environment.

In our pursuit of economic success we expect our managers to show a high degree of social responsibility towards employees and society. To this end, we want them to accept not only legal regulations but also social values.

We want to create secure jobs and good working conditions for our employees."

Therefore, the management of ALTANA AG decided that all Business Managers and Managing Directors are obliged to comply with the principles of the Responsible Care Initiative of the Chemical Industry. Based on these principles the management has formulated the following Environmental, Health & Safety Policy Guidelines, valid for all companies and subsidiaries of ALTANA AG worldwide:

1. Our working practices may not do any harm to the environment;
2. We want to assure safe working conditions for our employees;
3. We want to develop and market products that are neither a burden to mankind nor the environment;
4. Our production process must not cause any environmental impacts – if this is not avoidable, the burden shall be reduced to a minimum;
5. We want to avoid the creation / development of waste and to recycle or dispose inevitable waste in an ecologically beneficial manner;
6. We want to strive for the optimal use of energy in all fields;
7. By means of our knowledge we try to contribute to the development of environmentally friendly product and manufacturing technologies;
8. The compliance with these principles is guaranteed by an appropriate controlling system;
9. We want to continue our successful pursuit of engagement for the environmental situation of ALTANA AG.

ALTANA AG Safety Policy

Every accident and damage incident is preventable. We perform our work in a way that does not endanger the health of our employees or the employees of our contactors. In addition to safe technology, we place great importance on safe behaviour: safety begins in the mind!

Safety has priority over costs and productivity and supports quality improvement.

Employees and supervisors of both ALTANA and our contractors are responsible for safety:

- Supervisors – for safe working conditions, technical measures, training and monitoring of behaviour
- Employees – for working safely, for fulfilling the safety expectations and for improving both their own and their colleagues' safety behaviour.

"Our work is never that urgent or important that there is not enough time to do it in a safe way"

With their signature all Business Managers and Managing Directors are obliged to comply with the enclosed principles of the Responsible Care initiative as well as the Policies-Guidelines stated above.

Date

Date

Member of the Board

Managing Director

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Appendix/Anlage II: Responsible Care Principles

“Responsible Care” Principles

- ALTANA AG considers safety and the protection of health and environment a matter of fundamental importance. For this reason we shall define environmental guidelines, review these guidelines at regular intervals regarding new requirements and create procedures for the effective implementation of these targets in everyday business.
- We encourage the employees' environmental responsibility and awareness with respect to potential environmental hazards caused by products or plant operations.
- We take the general public's questions and concerns regarding our products and business operations seriously and provide appropriate response.
- We continuously reduce the dangers and risks involved in the manufacture, storage, transportation, distribution, usage, processing and disposal of our products in order to protect employees, neighbours, customers and consumers, and the environment. Health, safety and environmental aspects are priority issues when new products and production procedures are being developed.
- We inform our customers appropriately as to the safe transport, storage, safe application, processing and disposal of our products.
- We work continuously on extending our knowledge of possible adverse effects of products, production procedures and waste on human health and the environment.
- We will limit the marketing of products or cease production, regardless of economic interests, if the results of a risk assessment call for such limitation or cessation as a precautionary measure to protect human health and the environment. We also shall inform the public of all such measures.
- We will initiate any measures required in the event of operation-induced health or environmental dangers; we shall work in close coordination with public authorities and will inform the public without delay of any such events.
- We make available our knowledge and experience in the preparation of practical and effective laws, directives and standards with the aim of ensuring the protection of man and the environment.
- ALTANA fosters guiding principles and the implementation of the Responsible Care initiative, in particular through the open exchange of knowledge and experience with all those concerned and interested.

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Appendix/Anlage III: UN Global Compact Principles



“UN Global Compact” Principles

By participating in the U.N. Global Compact, we commit to respecting human rights, creating socially compatible working conditions, promoting environmental protection, and fighting corruption.

Human Rights

- Principle 1 Business should support and respect the protection of internationally proclaimed human rights
- Principle 2 Make sure that they are not complicit in human rights abuses

Labor

- Principle 3 Business 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 abolition of child labor
- Principle 6 The elimination of discrimination in respect of employment and occupation

Environment

- Principle 7 Business should support a precautionary approach to environmental challenges
- Principle 8 Undertake initiatives to promote greater environmental responsibility
- 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