



Instructions on Safety, Environmental Protection, Fire Safety and Efficient Energy Consumption for Non-ZEISS Staff



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## 1. General

The provisions of this directive apply to non-ZEISS personnel at all ZEISS locations in Germany. Non-ZEISS personnel within the meaning of this directive include all staff from non-ZEISS companies and suppliers as well as visitors and other guests.

Non-ZEISS companies performing work under labor or service contracts must inform their staff about the contents of this directive before beginning their activity. Prior to placement of the order, the non-ZEISS company must return the signed confirmation form (see appendix of this directive) to the respective purchasing department of Carl Zeiss.

Day visitors and suppliers receive a leaflet in the respective reception area, informing them about occupational and plant safety, fire safety and environmental protection.

In our company, we attach great importance to health and safety, fire safety, information security, environmental protection, plant safety and efficient energy consumption.

The following provisions are intended to contribute to the safety of both our own staff and non-ZEISS personnel, to the preservation of our plant facilities and technical equipment and to the protection of the environment. The content of this directive must be made accessible to all non-ZEISS personnel before they enter company property. Compliance with these provisions must be monitored by the respective contact persons or coordinators at ZEISS (client).

## 2. Occupational Health and Safety

The principles of occupational health and safety at ZEISS are described in the management policy (see Appendix 1 *ZEISS Policy*).

The health and safety of employees is the responsibility of their respective superiors. This directive is intended as a guideline for ensuring the safety of non-ZEISS personnel temporarily working for or visiting the company. All persons are obligated to make their own contribution towards preserving their health through safety-compliant behavior. The instructions of the operating personnel responsible, of the coordinator, plant fire department, plant security department or safety experts must be obeyed.

The safety notes provided on company premises such as prohibitory, warning, mandatory and rescue signs must be strictly observed.

Bringing intoxicants to the company premises and consuming intoxicants while staying at ZEISS are prohibited.

## 3. Plant Safety

The ID badges issued at the locations must be presented without prompting to the plant security staff upon entering and leaving the company premises, and must be worn visibly and openly during the stay on the premises. The ID badge is intended to identify persons and authorizes the owner to access the areas of the company required to perform his/her duties.



Only the traffic routes, entrances, exits and plant areas actually required for the performance of the contractual work may be used or accessed. Areas barred to the ID badge holder or appropriately marked areas may only be accessed after consultation with the responsible coordinator or plant security staff and while accompanied by an authorized person.

The ID badge is only valid for the person to whom it is issued and must not be passed on to third parties. In the event of misuse, the badge holder's authorization to access the company premises will be revoked. The **speed limits** indicated at the respective location must be observed on plant traffic routes and on access routes to the car parks. The German Road Traffic Ordinance (StVO) applies. Special care must be taken with industrial trucks and pedestrians.

Parking on plant traffic routes and the obstruction of passageways, in particular of escape and rescue routes, are strictly prohibited. Only the indicated or designated parking spaces may be used. Access routes for the fire department and areas marked with no-stopping signs must be kept clear (this also applies to the loading and unloading of vehicles).

If any machines, laptops and other equipment needed to fulfill a contract are brought onto company premises, they must be reported at the gate upon entering the plant. Plant security staff conducts **spot checks of persons and vehicles** leaving the company premises.

Photography and filming on company premises are strictly prohibited.

#### 4. What to Do in Emergencies / First Aid

Before starting their activities, non-ZEISS personnel must be **briefed** by the client's contact person on the correct behavior in emergencies. This includes information about escape and rescue routes (escape and rescue plans) and about the designated **meeting points**.

In the event of emergencies, the **emergency phone number** applicable at the respective site must be dialed. In the initial briefing, non-ZEISS personnel are informed about the emergency phone number and about the correct behavior in emergencies. The relevant emergency phone number is also included in the leaflet issued in the reception area.

Depending on the local situation and the type of activity involved, additional information must be provided about first aid kits and first responders. Any existing factory medical centers can also be used by non-ZEISS personnel.

#### 5. Non-ZEISS Activities

Pursuant to § 8 of the German Occupational Health and Safety Act and §§ 5, 6 of the German trade association's regulations (DGUV V1), all parties commissioning or performing contractual work are required to comply with the legal provisions regarding health and safety, and environmental protection, the German trade association's accident prevention regulations, as well as the generally recognized safety and industrial medicine regulations.

In addition to the duty under labor legislation to **look after the well-being** of their own staff, non-ZEISS companies (contractors) are subject to the **legal duty to maintain safety**. During the fulfillment of the contract, the contractor must ensure that no **mutual hazard** is caused for the non-ZEISS company's staff and permanent staff (e.g. tripping hazards, falling parts, live parts, etc.).



For this purpose, the non-ZEISS company undertakes to verifiably give its staff all training and briefing required. Specific medical examinations may be required before certain types of activities are started. The non-ZEISS company must ensure that its deployed staff is **sufficiently qualified and in a proper state of health** for the work to be performed. The client reserves the right to demand written evidence to this effect. In the case of special legal stipulations (e.g. ozone layer regulation and water legislation act) the appropriate qualification certificates are required from the contractor and are archived as an integral part of the contract by the client.

Contractors must continually monitor their personnel and specify an on-site contact for the client.

If non-ZEISS companies commissioned by ZEISS intend to subcontract orders or partial orders to third parties, they must obtain the **prior written approval** of ZEISS if the subcontracted order or partial order involves activities on the company premises of a ZEISS location.

### 5.1 Coordination of activities

Depending on the type and scope of the activities of non-ZEISS companies, ZEISS may appoint a **coordinator** in accordance with § 6, DGUV V1. Before work commences, the type of contract involved and the scope of the planned activities must be jointly agreed with the coordinator and documented accordingly.

The safety regulations stipulated by the coordinator must be complied with by the non-ZEISS company's staff.

The coordinator must be informed about the commencement and any interruptions of the activities, about work outside regular working hours, hazardous work, changing of the worksite and the end of the activities. In addition, the coordinator must be notified of any disruptions of operational processes and about any changes to supervisory staff through the non-ZEISS company or contractor.

If a risk to the contractor's and clients employees cannot be ruled out when dealing with hazardous materials, all affected parties must work together to assess the risk and coordinate protective measures. This must be documented.

Prior to beginning demolition, restoration, maintenance or construction work, the contractor is required, within the scope of the hazard assessment, to obtain information from the client or building owner about the existence or expectation of any hazardous substances, particularly asbestos.

Unaccompanied working in hazardous activities must be avoided. If hazardous work is performed by only one person in exceptional cases, effective supervision or appropriate monitoring must be ensured.

If pronounced noise pollution is caused by certain activities, the coordinator must be informed at an early stage to permit him to coordinate working hours accordingly or to define appropriate noise protection measures.

Any identified **potential accident risks** or **safety-relevant deficiencies** at the worksite or in the work environment must be **immediately reported to the coordinator** by the non-ZEISS company's staff. The coordinator then decides on if and how work will be continued.



## 5.2 Work equipment

All work equipment must be suitable for the work to be performed and in a safe operational condition. Work equipment of ZEISS will only be made available in exceptional cases. In accordance with the German Operational Safety Ordinance, it is the responsibility of the non-ZEISS company's staff to ensure that the work equipment is **used as intended**.

The operation of electrical work equipment in areas without worksite power distribution is only permissible in combination with a **mobile protection device** (e.g. PRCD-S from Kopp).

## 5.3 Personal protection equipment

Personal protection equipment must be provided by the non-ZEISS company to the extent required and must be worn by the non-ZEISS company's staff. If special personal protection equipment is needed, this will be made available by ZEISS by arrangement with the coordinator. If the non-ZEISS company's staff fails to wear the stipulated personal protection equipment, the coordinator is entitled to ban the non-ZEISS company's staff from continuing their activities.

## 5.4 Fire safety and explosion control / work on open flames

For safety reasons, **smoking** on the company premises (both in the buildings and outdoors) is **restricted or prohibited**. The regulations applicable at the respective site must be observed.

Prior to welding and burning work, activities producing sparks or involving the use of an open flame, work for which the fire alarm system must be deactivated due to emissions, and work in explosive areas, the **coordinator** must be notified and **written permission** obtained from the relevant department ("Notification on work involving the use of an open flame"). If necessary, specific fire alert lines must be enabled or a fireguard must be made available before the activities commence.

In addition, it is absolutely vital that the following points be observed:

- Staircases, traffic routes and exits must not be obstructed.
- Special doors intended to prevent the spread of fire and smoke (fire or smoke doors) must not be disabled through the use of wedges or other devices to keep them open. Flammable liquids must be kept at the worksite only in the daily quantity required
- Extensive accumulation of dust must be removed on a daily basis
- Whenever possible, work that generates particles must be completed away from closed rooms; attention must be given to ventilation systems such work must be coordinated with the coordinator.
- Flammable liquids must not be discharged into the sewage system via wash basins, toilets or other drains
- Flammable waste must be removed from the worksite on a daily basis

## 5.5 Environmental protection

ZEISS is particularly committed to the responsible treatment of the environment, including efficient energy consumption.



The **guiding principles of ZEISS for environmental protection** are:

- Environmental protection is a core consideration in all our activities
- We protect our environment and use all natural resources sparingly
- We view environmental protection and the preservation of our natural surroundings as our corporate duty
- We take a holistic and highly professional approach to environmental issues
- We incorporate the requirements of an intact environment into the development, design, manufacturing processes, as well as the packaging and shipping of our products
- With our environmentally conscious behavior, we strive to avoid or minimize burdens on humankind and nature

The ZEISS Policy, which includes environmental and energy efficiency, is attached in Appendix 1.

The guiding principles of ZEISS for efficient energy consumption are:

- Incorporate energy efficiency into the design and operation of systems, processes and facilities
- Continually analyze and improve energy-based activities
- Take a holistic and highly professional approach to operational energy issues
- Ensure the legally compliant implementation of operational energy management
- Anchor in the procurement process energy-based activities as a key decision-making criterion
- Identify possibilities of innovative and sustainable solutions for enhanced energy-based activities

Responsible treatment of the environment and energy is also expected from service providers working for ZEISS, from the staff of non-ZEISS companies and from suppliers. The instructions of the relevant ZEISS employees must be obeyed.

Compliance must be ensured with the provisions relating to the handling of hazardous substances (German Chemicals Act, including the applicable statutory ordinances and relevant technical directives), water pollution control (German Federal Water Act, including the applicable statutory ordinances), waste legislation (German Closed Substance Cycle and Waste Management Act, including the applicable statutory ordinances), immission control (German Immission Control Act including the applicable statutory ordinances) and hazardous materials legislation (German Transport of Hazardous Goods Law and applicable statutory ordinances). Furthermore, the non-ZEISS company's staff must comply with the provisions of the management system in force at Carl Zeiss.

All activities that may potentially affect the environment or the use/consumption of energy must only be performed by **appropriately qualified non-ZEISS specialists**. Evidence of expertise and training must be presented to the client before commencement of the activities without being explicitly prompted. If such evidence is not presented, the client reserves the right to demand the evidence from the contractor. If no evidence is available, the client reserves the right to provide appropriate briefing to the non-ZEISS company's staff.

All raw materials, auxiliary materials and operating supplies used by the non-ZEISS company's staff during their work on the company premises must be used as instructed by the manufacturer.

Hazardous substances may only be brought to the company premises with the prior written consent of ZEISS. For this, the coordinator must be contacted. This approval must be obtained beforehand, i.e. before entering the company premises.



When handling substances hazardous to water, precautionary action conforming to the current state of the art must be taken (e.g. collection tanks, filling aids).

For all activities on systems where **substances hazardous to water** are produced, treated, used, stored, bottled or shipped, evidence must be provided that the contractor is a **certified specialist** in accordance with the German Federal Water Act.

All waste/residual materials resulting from the contractual work or brought to the company premises by the non-ZEISS company's staff must be disposed of properly.

All waste/residual materials resulting from building, repair, maintenance and servicing activities, e.g. empty containers (paint and glue cans, pressure gas containers etc.), cuttings of materials newly brought to the company premises (e.g. residues of absorbing and insulating materials, carpeting, PVC flooring, laminate, parquet flooring, wood) as well as all packaging material etc. must be disposed of by the non-ZEISS company's staff on their own responsibility and in accordance with the relevant waste legislation provisions. No waste may be stored or deposited on the client's premises. Any waste/residual materials produced during the contractual work must be removed by the non-ZEISS company's staff without prompting and free of charge. Any special arrangements must be agreed upon with the waste management department of the site involved.

In the event of waste transport, the contractor must submit to the client a copy of the current transport permit issued by the relevant authority and must comply with the requirements of the German Ordinance on Waste Recovery and Disposal Records without being explicitly requested to do so. Vehicles used to transport waste must be labeled in accordance with legal stipulations.

For work on installations relevant for immission control, the legal requirements must be complied with and the necessary expertise must be confirmed.

The transport of hazardous materials must only be performed in accordance with the current version of the applicable hazardous materials legislation, in particular the German Transport of Hazardous Goods Law (GGBefG) and the German Hazardous Freight Ordinance for Road/Rail/Inland Water Navigation (GGVSEB) in combination with the applicable ADR (European Agreement concerning the International Carriage of Hazardous Goods by Road). Vehicles used to transport hazardous materials must be labeled in accordance with legal stipulations. The contractor agrees to the auditing of his own and, if applicable, his subcontractors' hazardous goods transports by authorized staff of the client as well as to the inspection of the ADR certificates of his own and, if applicable, his subcontractors' hazardous goods drivers.

## 5.6 Conclusion of activities

After completion of the contractual work, a joint **final inspection** must be conducted by the client and contractor. In particular, it must be ensured that all safety devices have been restored to perfect functional order. The final inspection and the transfer of the deliverables to the client must be documented (e.g. using a transfer and acceptance report).

## 6. Information Security

The non-ZEISS company's staff is obligated to treat all information, business processes and documents disclosed to them within the scope of their contractual activities with **strict confidence** vis-à-vis third parties during and after fulfillment of the contract. The contractor undertakes to have an appropriate **non-disclosure agreement** signed by the persons involved in the fulfillment of the contract.





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It is generally not permitted to connect non-Zeiss computers to the corporate network. Such a connection via Ethernet cable or WLAN is only permitted after a guest account has been set up.

## **7. Prohibition of Cooperation with Listed Persons**

The contractor is obligated to check in advance whether any of his own employees, the subcontractor and employees of the subcontractor who will be working for the client to complete this agreement have been listed under embargos or prohibition ordinances of the European Union (e.g. anti-terror lists in the annexes of Community Regulations 2580/2001; 881/2002 and 753/2011) and the prohibition lists of the USA. Employees listed in embargos and prohibition ordinances of the European Union and the USA must not perform work in any function for the client. In the event that the contractor fails to comply with these obligations, the contractor shall indemnify the client for all resulting damage and costs (e.g. **fin**es).

In addition, the client shall not make any payments to the contractor inasmuch as that these payments arise from the work of the employee concerned because these are prohibited in accordance with the underlying legal stipulations.

The contractor shall conduct such checks on an ongoing basis, at a minimum when the applicable embargo and other prohibition lists are updated. The review shall be conducted at a minimum on the basis of the following lists:

1. Consolidated list of the European embargos against individuals:

<https://www.finanz-sanktionsliste.de/fisalis/>

2. Consolidated list of the embargos against individuals of the USA:

<https://www.export.gov/csl-search>



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## Confirmation Form for Non-ZEISS Companies

Please bring the contents of this directive to the attention of your employees who will perform work at ZEISS or its affiliated companies in accordance with §§15 ff of the German Stock Corporation Act (AktG). To confirm that appropriate briefing has been conducted, please sign this form and return it to the client.

**Client's mailing address:**

**Contractor's confirmation:**

All employees deployed at ZEISS AG and its affiliated companies in accordance with §§15 ff of the German Stock Corporation Act (AktG)

of the company .....

have been briefed in accordance with the directive *Instructions on Safety, Environmental Protection, Fire Safety and Efficient Energy Consumption for Non-ZEISS Staff*.

.....  
Place, Date

.....  
Stamp and Signature of the Contractor



Appendix 1:

## ZEISS Policy

### ZEISS Brand, Products & Customer Satisfaction

Our brand stands for the promise that ZEISS gives to its customers. We focus all of our activities on achieving sustainable success, maintaining our financial independence and strengthening the reputation of our brand.

We have a passion for our customers' success and for developing our markets.

ZEISS products and services excel through innovation, reliability, quality, safety, energy efficiency and user-friendliness. They deliver effective, precise and optimal results in line with their intended field of application.

### Employees, Health & Safety

Our corporate values define the actions of our employees who play a major role in ensuring the success of the company. We invest in the training of our employees, allocate responsibility to them and recognize their achievements.

An essential duty of ZEISS managers is to protect the health and safety of their staff. We implement preventive measures to minimize hazards and therefore avoid injury and occupational illnesses.

### Compliance & Responsibility to Society

ZEISS is committed to complying with the relevant legal obligations, in particular with regard to product quality, product safety, health and safety, environmental protection and energy.

Entrepreneurship means accepting social and societal responsibility, not only within the company itself but also in its surrounding region. This obligation has been firmly enshrined in the statutes of the Carl Zeiss Foundation for more than 125 years.

### External Relations, Partners & Suppliers

We foster sustainable business relations with our external partners.

ZEISS will assist its partners in implementing all relevant content of this policy.

### Environmental Protection & Energy Efficiency

Sustainability and the sparing use of resources – also by our partners – are central to all of our business activities.

We ensure sustained economic efficiency at all times by avoiding or minimizing adverse impact on humans and nature and by constantly enhancing the energy efficiency of our business activity.

### Continual Improvement & Goals

Continual improvement is an integral part of all our actions and is a fundamental principle of work at ZEISS.

This policy lays the foundation for defining all strategic and operational goals of the company.

The ZEISS Executive Board provides the framework and ensures the implementation of all points of this policy together with the Management of all ZEISS companies.

Dr. Michael Kaschke  
President and Chief Executive Officer

Dr. Karl Lamprecht  
Member of the Executive Board

Dr. Matthias Metz  
Member of the Executive Board

Dr. Ludwin Monz  
Member of the Executive Board

Dr. Christian Müller  
Member of the Executive Board

Dr. Jochen Peter  
Member of the Executive Board

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