



# Instructions on Safety, Environmental Protection and Fire Control for External Persons

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## 1. General

The provisions of this directive apply to external persons at all Carl Zeiss locations in Germany. External persons within the meaning of this directive include all staff from external companies and suppliers as well as interns, students, vacation workers, visitors and other guests.

External 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 external company must return the signed confirmation form (see appendix of this directive) to the respective purchasing department of Carl Zeiss.

Interns, students, vacation workers and similar groups of persons working for more than one day at a location of the Carl Zeiss Group in Germany must be informed about the contents of this directive at the beginning of their work by the responsible contact person or supervisor at Carl Zeiss.

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

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

The following provisions are intended to contribute to the safety of both our own staff and external persons, 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 Carl Zeiss (client).

## 2. Health and safety

The principles of health and safety at Carl Zeiss are described in the health and safety policy (see Appendix 1).

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 external persons 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 the 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 Carl Zeiss are prohibited.



### 3. Plant security

The ID badges issued at the locations must be presented without further request to the plant security staff on 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 service 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 on entering the plant. The plant security staff performs **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, external persons 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, external persons 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 aiders**. Any existing **factory medical centers** can also be used by external persons.



## **5. Activities of external companies**

Pursuant to § 8 of the German Occupational Safety Act and §§ 5,6 of the German trade association's regulations (BGV A1), 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, external companies (contractors) are subject to the general obligation to maintain the premises' safety for persons and vehicles. During the fulfillment of the contract, the contractor must ensure that no mutual hazard is caused for the external company's staff and the permanent staff (e.g. tripping hazards, parts falling down, live parts, etc.).

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

Constant supervision by supervisory staff must be guaranteed.

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

### **5.1. Coordination of activities**

Depending on the type and scope of the activities of external companies, Carl Zeiss may appoint a coordinator in accordance with § 6, BGV A1. Before work is started, 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 external 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 change in the external company's supervisory staff.

Pursuant to § 17 of the Hazardous Substances Ordinance (GefStoffV), the contractor is required to submit a hazard assessment for the activities on the client's premises if they involve any handling of hazardous substances. The contractor's and client's hazard



assessments must be compared and reviewed for potential interactions of hazardous substances, and must be revised accordingly. Prior to the beginning of demolition, restoration and maintenance work, the contractor is required, within the scope of the hazard assessment, to obtain information from the client or building owner about the existence of any hazardous substances in accordance with Appendix IV of the Hazardous Substances Ordinance.

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 external company's staff. The coordinator then decides on whether 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 Carl Zeiss will only be made available in exceptional cases. In accordance with the German Operational Safety Ordinance, it is the responsibility of the external 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 external company to the extent required and must be worn by the external company's staff. If special personal protection equipment is needed, this will be made available by Carl Zeiss by arrangement with the coordinator. If the external company's staff fails to wear the stipulated personal protection equipment, the coordinator is entitled to ban the external company's staff from continuing their activities.

## 5.4. Fire control / Work involving the use of an open flame

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 activities as well as activities producing sparks or involving the use of an open flame, the **coordinator** must be notified and a **written permission** must be



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 are started.

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

- Staircases, traffic paths and exits must not be obstructed.
- Special doors intended to prevent the spread of fire and smoke (fire or smoke control doors) must not be put out of function by 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
- 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**

Carl Zeiss is particularly committed to the responsible treatment of the environment.

The **guiding principles of Carl Zeiss for environmental protection** are:

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

The detailed environmental policy of Carl Zeiss is published at [www.zeiss.de](http://www.zeiss.de) → Our Company → Society & Environment → Environmental Report ([http://www.zeiss.de/C125679B0029303C/EmbedTitelIntern/2007\\_Umweltpolitik\\_DE/\\$File/2007\\_Umweltpolitik\\_DE.pdf](http://www.zeiss.de/C125679B0029303C/EmbedTitelIntern/2007_Umweltpolitik_DE/$File/2007_Umweltpolitik_DE.pdf)).

Responsible treatment of the environment is also expected from service providers working for Carl Zeiss, from the staff of external companies and from suppliers.

The instructions of the relevant Carl 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), emission control (German Emission Control Act including the applicable statutory ordinances) and hazardous materials legislation. Furthermore, the external company's staff must comply with the provisions of the environmental management system in force at Carl Zeiss.



All activities that may potentially affect the environment must only be performed by **appropriately qualified specialist staff** of the external company. Evidence of expertise and training must be presented to the client before commencement of the activities without being explicitly requested to do so. 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 external company's staff.

All raw materials, auxiliary materials and operating supplies used by the external 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 Carl Zeiss. For this, the coordinator must be contacted. The 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. collecting vats, filling aids).

For all activities involving installations 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 § 191 of the German Federal Water Act.

All waste/residual materials resulting from the contractual work or brought to the company premises by the external 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 external company's staff on their own responsibility and in accordance with the relevant waste legislation provisions. No waste must be stored or deposited on the client's premises. Any waste/residual materials produced during the contractual work must be removed by the external company's staff free of charge and without being explicitly requested to do so. 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.

For work on installations relevant for emission 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 and Rail (GGVSE) in combination with the applicable ADR (European



Agreement concerning the International Carriage of Hazardous Goods by Road). The contractor agrees to 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 external 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.

## 7. Prohibition of cooperation with “listed persons”

The contractor is obligated to check beforehand whether any of the employees who will be working for the client have been listed under prohibition ordinances of the European Union (e.g. anti-terror lists in the annexes of Community Regulations 2580/2001 and 881/2002). Employees listed in prohibition ordinances 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. **finances**). In addition, pursuant to the relevant prohibition ordinances, the client is not allowed to make any payments to the contractor inasmuch as that these payments arise from the work of the employee concerned.

The obligation of verification under the current prohibition ordinances also involves regular re-verification as to whether any of the employees has been listed in the meantime.

## 8. Liability

The contractor is liable for any damage culpably caused by him. He must effect a sufficient liability insurance to cover any claims resulting from damage caused and must provide evidence of the insurance on request.

The contractor indemnifies Carl Zeiss AG and its affiliated companies in accordance with §§ 15 ff of the German Stock Corporation Act (AktG) from all third-party claims lodged against Carl Zeiss AG and its affiliated companies in accordance §§ 15 ff AktG due to damage occurred during the work performed by the contractor, but not attributable to any fault of Carl Zeiss AG and its affiliated companies in accordance with §§ 15 ff AktG.



### Confirmation Form for External Companies

**Please bring the contents of this directive to the attention of your employees who will perform work at Carl Zeiss AG 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 signature:**

**Contractor's confirmation:**

All employees deployed at Carl 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 and Fire Control for External Persons".

.....  
Place, date

.....  
Stamp and signature of  
contractor



## Appendix 1

### Health and Safety Policy of Carl Zeiss

A safety policy has been defined and communicated on the basis of the corporate principles of Carl Zeiss. Its objective is to create a solid foundation for long-term fire control in all companies of the Carl Zeiss Group. Here legal and insurance-related provisions must be met in their entirety. Working conditions must be promoted in a stable environment, and a creative and innovative climate must exist for employees. Therefore, the safety policy plays a key role in supporting value-adding processes.

For health and safety, this general framework is substantiated as follows:

The health and safety of our employees are core values of the company. Health & safety are an indispensable part of all processes and services and are the responsibility of the respective superior.

The following **principles** stand for **continuous improvement** of health and safety in the company:

- Health and safety are part of our safety philosophy:  
Economic interests have no precedence over health and safety
- Managers are responsible for the health and safety of their employees
- Adherence to legal provisions and internal requirements of the company are the duty of every superior
- Within the framework of briefings and instructions, employees are prompted to behave in a manner compliant with the requirements of health and safety, and their awareness of the need for careful, considered action is strengthened
- Through preventive initiatives and actions, working conditions are structured so that as few hazards exist for employees as possible
- The cause of accidents, incidents and work-related illness is examined and the appropriate action is taken to prevent reoccurrence
- Health & safety and health promotion stand in direct relation to quality and productivity and make an important contribution to business success

Exemplary safety work strengthens the trust placed by our customers and the public in our entrepreneurial actions. Safety-conscious behavior therefore also contributes to job security.