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# Site Regulations BASF SE

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 **BASF**  
We create chemistry



## Preamble

Covering an area of approximately ten square kilometers, the Ludwigshafen Verbund site is the world's largest contiguous chemical complex operated by a single company. BASF's main site in Ludwigshafen is also the birthplace of the Verbund concept, an approach which intelligently links production plants, energy flows and logistics processes with each other in order to use resources as efficiently as possible. Our contractor management is characterized by close partnerships and the highest demands on safety and quality. The success of the site depends on the collaboration with contractors and site partners.

Sustainability is part of our corporate strategy. Our purpose states that "We create chemistry for a sustainable future", and as such, our priority is to protect both human beings and the environment. We want and must continue to keep this promise. It is therefore absolutely necessary that our employees, contractors and site partners know the risks when handling our products, materials and when working in the plants, as well as dealing with these risks in a responsible manner.

These Site Regulations contain operator responsibilities, behavior and safety rules for the Ludwigshafen site. They form the foundation of a common understanding as to how we can work at the site safely, smoothly and in compliance with regulations. We expect our employees, contractors, site partners and visitors to adhere to these rules.

Ludwigshafen, February 2024

Dr. Katja Scharpwinkel  
Member of the Board of  
Executive Directors of BASF SE and  
Site Director Ludwigshafen

Dr. Uwe Liebelt  
President European Site &  
Verbundmanagement and  
Site Manager Ludwigshafen



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## 1 Introduction

Safety, health and environmental concerns are of great importance to BASF SE (hereinafter referred to as “BASF”). BASF therefore created these Site Regulations which are to be complied with by all people on the site (natural persons, legal entities, associations of individuals, companies, etc.).

### 1.1 Definitions

#### 1.1.1 Site Premises

The “site premises” comprise the fenced-in area of the BASF Ludwigshafen site as well as the “waste water treatment plant, Frankenthal” and “Friesenheimer Insel, Mannheim”.

#### 1.1.2 Site

The “site” comprises

- the site premises
- the fenced-in Limburgerhof agricultural center
- as well all other buildings, parts of buildings, areas and parts of areas used by BASF in Ludwigshafen, Frankenthal, Mannheim and Limburgerhof, for which the site regulations have been declared valid in consultation with the landlord and site security.

#### 1.1.3 Employees

“Employees of BASF SE” are employees of BASF SE.

“BASF site employees” are employees at the BASF Group who regularly work at the site and are therefore in possession of a permanent site ID card, and include employees of BASF SE.

“Employees of the BASF Group” are employees of the BASF Group.

#### 1.1.4 Contractors

“Contractor” is every company that performs services on behalf of BASF SE or a site partner at the Ludwigshafen site. A company which only performs deliveries at the site is not a contractor, but a supplier.

#### 1.1.5 Subcontractors

Subcontractors are companies commissioned by contractors to perform services at the site. They work on behalf of and under the supervision of the contractor.



### **1.1.6 Site Partners and other third party companies**

Site partners are companies located on site which are responsible for operating production or research centers, or performing other services.

## **1.2 Scope of Application**

The Site Regulations apply to the site and are to be complied with by all people on site, particularly those who are on foot / in a vehicle.

Sections 1 to 4 of the Site Regulations comprise fundamental rules which are to be observed by every person on site.

Section 5 of the Site Regulations only applies to contractors.

Section 6 of the Site Regulations only applies to operators of production plants.

Companies working on site are to ensure that the Site Regulations are adhered to by all their customers, visitors, subcontractors, employees and other vicarious agents who are on site, particularly those who are on foot / in a vehicle.

## **1.3 Issuance**

The Site Regulations were passed by the BASF Ludwigshafen Site Management.

Changes to the Site Regulations are approved by the Ludwigshafen Site Manager. Substantial changes to the Site Regulations require the additional approval of Ludwigshafen Site Management.

Significant changes or additions which affect the interests of third parties require agreement in advance. The fundamental rules can be supplemented or specified through company-specific regulations. These may not mitigate the fundamental rules.

## **1.4 Violations**

BASF is authorized to take suitable disciplinary measures in the event of culpable infringements of the Site Regulations, up to and including a site ban in the case of serious or repeated culpable infringements. Further contractual, operational or legal rights and claims on the part of BASF remain unaffected.



## 1.5 Further Applicable Documents

The following document is also applicable and is to be used analogously in its respective current version: [Rules governing the use of parking spaces](#)

The Safety, Health and Environmental Protection regulations, as well as mandatory BASF Technical Rules and unit-specific regulations apply to all BASF employees at the site, as well as temporary agency worker deployed at the site.

The mandatory regulations listed in the corresponding BASF extranet portals apply in their current version and are to be applied accordingly by all contractors and all producing third party companies at the site.

**Global Technical Extranet for Contractors** (log-in to the [BASF extranet portal](#) required *in advance*)

- [“Mitgeltende Dokumente Kontraktoren”](#)

**Global Technical Extranet for Site Partners** (log-in to [BASF extranet portal](#) required *in advance*)

- [“Mitgeltende Dokumente Standortpartner”](#)





## 2 Entering and Leaving the Site

### 2.1 Responsibilities and Authorizations of Site Security

BASF site security is responsible for security and order at the Ludwigshafen site. In order to complete these tasks, site security has the authority described in more detail in the following. Orders issued by site security are to be followed unconditionally and immediately.

#### 2.1.1 Hazard Avoidance

To defend against current hazards to safety of the people on site and the areas surrounding the entire site, site security is permitted to enter and search all buildings, rooms and vehicles at the site.

#### 2.1.2 Reporting Obligation

Hazards to the safety of the people at the site, the surrounding areas and the site itself must be immediately reported to site security.

#### 2.1.3 Reporting and Permit Obligations for Drones

Drones must be registered at the site gate upon entry. Planned drone deployments within the scope of the Site Regulations are to be registered at least 24 hours prior to the deployment with the Drone Competence Center Phone: 0621 60 44044 or in writing at [drohnenkompetenzcenter@basf.com](mailto:drohnenkompetenzcenter@basf.com). These deployments require approval. The minimum requirements for UAS deployments (drone deployments) are described in the Drone Technical Rules.

Drones flying the site premises must immediately be reported to the Drone Competence Center at phone: 0621 60 44044.

### 2.2 Entry and Exit Checks

Site security monitors and controls the entire traffic (foot and vehicular) at the site.

#### 2.2.1 Access Permission

Only personnel with a valid permit are allowed to access the site. The ID cards are not transferable. The minimum age for people entering the site is 12 years. Exempt from this are guided site tours and visitors in closed groups e. g. at the Visitor Center in F 103, as well as the employee center buildings LuMit (Z 050 - Z 054). Other exceptions are to be submitted to site security. Deviating regulations apply to the Agrarzentrum Limburgerhof.

Drivers also require a valid access permit (refer to Section 2.3.4.).



Automated access is to be used at the gates where this function is available (access control system); otherwise, the permit must be shown to site security without being requested. The access control system checks whether the permit authorizes access. Passing a site ID to other persons is not permitted.

### **2.2.2 Denial of Access**

Site security can deny access to people who represent a hazard to the safety and order of people at the site, the surrounding areas and the site itself.

In the event of an access attempt with a blocked or invalid permit, or any other unlawful use of a permit, site security can deny access to the permit holder and confiscate the permit.

Persons who are visibly under the influence of alcohol or other addictive substances may not enter the site even if they have a valid permit.

If the influence of alcohol or intoxication is determined at an entry or exit check, or if a person is denied access due to their hazard potential, site security will inform the respective employer.

Pets of any kind are generally prohibited on the site premises. Possible exceptions to this (e.g. assistance dogs) must be approved by Site Security on a case-by-case basis.

### **2.2.3 Inspection at the Site Gates**

Site security is permitted to perform random checks of persons, vehicles and containers. Excluded from this are police employees and vehicles, as well as other authorities with special access rights. Checks of persons can include body searches. Body searches may only be performed in closed rooms and by persons of the same sex.

The person being searched has the right to request a person they trust at the site to be present. The police may be informed and called in if the person refuses to be checked by site security.

### **2.2.4 Carried Objects**

It is not permitted to bring weapons, explosives or other dangerous objects to the site. Exceptions to this must be approved by the head of site security or their representative.

Carrying other private objects which are not part of personal needs at the workplace is forbidden. These objects can be stored in luggage storage rooms available at each site gate in exceptional circumstances.



## **2.3 Permits and Approvals**

### **2.3.1 General Provisions**

Only persons with a valid site ID card may enter the site.

Site ID cards are only issued by BASF site security. The creation and issuance of site ID cards takes place at the respective reception offices, as well as specified site Gates. All important information on application, approval and receipt of site ID cards and authorizations is available on the [Site portal for BASF Ludwigshafen under Permits and Authorizations \(Link\)](#).

### **2.3.2 Mandatory Safety Tests for Contractors**

All employees of contractors and subcontractors must receive the central briefing of the Ludwigshafen site (safety film) and take a safety test on BASF's general safety rules before being issued with permanent ID. Access to the site premises is denied without a passed test. The safety test is valid for one year and must then be completed again.

### **2.3.3 Obligation to Openly Show ID**

The site ID card must be carried openly and be clearly visible. This also applies in vehicles. For BASF employees at the site and employees of site partners, it is sufficient if they wear work clothes with clearly identifiable name tags and the name of their company. Other exceptions can be made for certain work areas, for example, if carrying the permit is not possible due to occupational safety reasons.

### **2.3.4 Retention of Title and Inspection, Loss**

ID cards and approvals remain property of BASF.

Site security is authorized to check IDs and permits at any time and confiscate them should any misuse be determined.

Loss of ID cards and permits must immediately be reported to Ludwigshafen site security.

ID cards and permits that are no longer needed must be promptly returned to site security by the ID card holder or their employer. The same applies following a site ban. ID cards and permits lose their validity if the data and information printed on the document no longer correspond to that of the person or the employment data (e. g. change of company). The applying entity is responsible for triggering an update (ID replacement) or a new permit application (permit return).

### **2.3.5 Entry Permits**

Vehicles on the site premises must be furnished with a valid entry permit which is visible in the vehicle. The entry permit must be presented at checks by site



security and when entering and exiting the site at the gate without being requested and must be handed over upon request.

The entry permit is issued for a respectively specified group; e. g. for a unit, a vehicle or a named person. Passing the entry permit on to a third party outside of the specified group is prohibited.

If the entry permit includes additional restrictions, these must be adhered to. These include, for example, entry solely at a specific gate, traveling only to a specified building, or the use of only the specified parking space.

All vehicles must be in a safe operating state. Vehicles must always be locked when parked.

Driving on site premises with private two-wheelers of any kind requiring registration is prohibited.

Entry for roadworthy bicycles is permitted. Owners of bicycles no longer in use are to remove these from the site premises.

## **2.4 Responsibilities and Authorizations of the Investigation Service**

### **2.4.1 Clarification of the Circumstances**

The Investigation Service is tasked with clarifying circumstances which require investigation and/or inquiries at the site and which concern BASF. If BASF concerns are not affected, the Investigation Service can be tasked with clarifying the situation. If other entities are tasked with clarifying the situation, the Investigation Service at BASF SE is to be included in a suitable manner. The results of the investigation are to be shared with the commissioning party and the Investigation Service.

### **2.4.2 Authorizations**

Within the scope of their responsibilities, the Investigation Service may take all required and essential investigative measures, especially questioning. Upon request, the site ID card must be handed over to the Investigation Service. The Investigation Service is authorized to issue a temporary site ban and to confiscate and block site ID cards.

If there is a reasonable suspicion of a criminal offence or a violation of the site regulations, the Investigation Service is authorized to enter and search buildings, rooms and vehicles at any time. The arrangements of the "Betriebsvereinbarung 27" remain unaffected.



### **2.4.3 Notification and Cooperation Obligations**

Crimes, misdemeanors and infringements on the Site Regulations are to be reported to the Investigation Service immediately. In general, every person is obliged to comprehensively cooperate in clarifying a situation which falls under the notification obligation. *The costs incurred within the scope of an investigation at the site caused by a contractor or their employee must be settled by the contractor. This also includes costs incurred by subcontractors and their employees.*

### **2.4.4 Restrictions to the Notification and Cooperation Obligations**

Anyone who would expose themselves to the risk of their own criminal prosecution or the criminal prosecution of a close relative (e. g. fiancé/fiancée, spouse, life partner, direct relative) is not obliged to report or cooperate in accordance with Section 2.4.3.



### 3 Behavior at the Site

#### 3.1 First Entry

The “[Security Information and Behavior Rules](#)” guideline is handed out the first time a person enters the site upon receipt of a signature.

The “Information on Site Traffic” brochure contains further information and can be requested from site security.

#### 3.2 Ban on Smoking, Alcohol and Drugs

Smoking and the use of all types of e-cigarettes, as well as water pipes (such as shishas) are prohibited throughout the entire site (including in vehicles).

It is also not permitted to bring shishas and other water pipes onto the site premises.

Following a hazard assessment, individual rooms or areas can be exempted from the general smoking ban. These areas are to be marked accordingly by the responsible operator. The use of shishas and other water pipes is generally not permitted in all smoking rooms and other designated smoking areas on the site premises.

Exceptions are forbidden for rooms and areas with direct connections to hazardous areas.

It is prohibited to bring alcoholic beverages and other addictive substances (this also applies to quantities legalized by law) to the site or consume them there or to enter the site premises under the influence of them. It is prohibited to store narcotic drugs (including quantities legalized by law) in the luggage storage rooms.

Owing to the hazard potential when working on the site premises, BASF reserves the right to conduct breathalyzer and drug tests on all people on the site who display any signs or behavior which could cause impairment in their ability to perform work.

In order to determine whether the ability to perform work is impaired due to alcohol or drug consumption, an examination by the Corporate Health Management unit (ESG) is requested. If the request to undergo a drug or alcohol test is refused, it is assumed that the person is unable to work due to alcohol or drug consumption.

Infringements by BASF employees at the site and employees of the BASF Group, as well as other production companies at the site (in accordance with Section 6) are penalized as per the systems in place in these groups, whereby the sanctioning should be based on the handling at BASF SE.



If third party companies (contractors, temporary agency worker, other third parties) violate the ban, the following shall apply: Upon first determination of inability to work caused by alcohol or drug consumption, the person will be barred from entering the site for a period of one year. In case of repeated offenses, the person will be banned permanently from accessing the site.

### 3.3 Immediate Measures and Behavior in the Event of Accidents and Damage Incidents

Following accidents or damage incidents, all necessary measures shall be taken to:

- Provide first aid for injured persons and
- prevent any consequential damage.

Injured persons must always be taken to a BASF outpatient clinic (Medical Center) for medical first aid.

#### In the Event of Damage

- Do not walk or drive through leaking fluids, unknown solids, dusts or escaping gas clouds and smoke,
- do not enter or drive through restricted areas and
- do not impede rescue work
- prevent leaking liquids (petrol, oils, hazardous substances) from entering the canal system. For this purpose, there are gully sealing pads at every canal and water drain. Note: Immediately report damaged or lost gully sealing pads to the plant fire department (e-mail address: [Gully-Kissen@basf.com](mailto:Gully-Kissen@basf.com)).

In the event of a hazard or when acoustic hazard signals sound (signal tone with periodic pause, or quickly oscillating signal):

- Leave the hazardous area, if possible, transversely to the wind direction.
- In production areas, go to the next enclosed building and report to the report center.
- Immediately go to areas with designated assembly points.
- In factories, plants and buildings, follow the instructions of the operating staff or the site fire department.



## Emergency Call

### Emergency Call - Fire Brigade (fire, accident, ambulance)

Site extension           **112**  
External extension       0621/60-112  
Cell phone                0621/60-112

### Emergency Call - Site Security

Site extension           **110**  
External extension       0621/60-110  
Cell phone                0621/60-110

### Emergency Call - Agrarzentrum Limburgerhof

(Fire, accident, ambulance, environmental incident and site security)

Site extension           **112**  
External extension       0621/60-112  
Cell phone                0621/60-112

### The following information is required in an emergency call:

#### ■ WHERE

##### ***Incident location:***

Street, building number, building part or side, platform or similar.

#### ■ WAIT

##### ***for queries:***

Do not hang up until coordination center has ended the call.

#### ■ WHAT

##### ***Type of incident:***

Accident or hazard due to fire, gas escaping, water or similar.

#### ■ HOW MANY

##### ***Number of injured persons:***

Type of injury, hazard situation

Persons must be ordered to wait in the street in order to flag down the fire department or ambulance and direct them to the site of the accident.

Obvious locations in which the site fire department, site security and emergency services are deployed must be avoided. Sufficient distance to the area of deployment is to be guaranteed.





A barrier deployed by the fire brigade or site security using auxiliary technical solutions, such as the central warning unit (ZWA) or mobile barriers is equal to a blockage for personnel.

### 3.4 Emission Incidents

Emission incidents must immediately be reported to the Environmental Monitoring Center.

Site extension	4040
External extension	0621/60-4040
Cell phone	0621/60-4040

### 3.5 Entering Site Areas

Plant buildings or site areas may not be accessed unless necessary for work-related matters. Every person who is not part of the plant and who enters a plant with a reporting center is obliged to report to the center. The report centers are labeled with an “M” and directional arrows (white on blue background). Plants with notification obligation include all production plants, engineering departments, disposal plants and storage facilities.

Registering in the plant is completed by handing in the registration card (marked with a red “K” for contractors) at the reporting board and by notifying the responsible plant employee. In areas with electronic registration systems, persons not belonging to the plant must register electronically as per the respective “Plant Instructions” guidelines.

Registrations have the goal of ensuring that plants know who is there at all times.

### 3.6 Road Traffic at the Site

The Road Traffic Regulations (StVO) and the Road Traffic Licensing Regulation (StVZO) apply at the site. Some deviations to these include:

- **Maximum permitted speed** for all vehicles is 30 km/h.
- Vehicles must wait **at wide-line markings** (*broken wide line across the entire width of the road*) at T-junctions or exits into a road.
- **Rail traffic** and **AGVs** (Automated Guided Vehicles) have priority.
- Parking is prohibited on roads where **the side of the road or the curb is red**.
- Restricted parking applies where **the center of the road is marked in color**.



- **Do not park under pipe racks**, except on marked parking spaces.
- **Keep access paths and routes to emergency facilities, as well as escape and rescue routes clear at all times.**
- Parking over underground hydrants, in front of hydrants, above manhole covers and on bicycle paths or the sidewalk is prohibited.
- When **parking vehicles near railway tracks** always keep at least 1.5 m distance to the nearest outer rail.
- Only **enter hazardous areas** with the permission of the respective plant (incl. cyclists).
- **Cyclists** must also wear a properly fitting and fastened bicycle or motorcycle helmet.

**Blocking** roads, sidewalks and bicycle paths must be applied for at [koordination-strassensperrungen@basf.com](mailto:koordination-strassensperrungen@basf.com).

- In the event of **winter road conditions**, Site Management can prohibit the riding of bicycles and motorcycles on the site premises. The announcement of the restriction (and subsequent lifting thereof) will be made using signs. In the future, these announcements will also be made via the central warning unit (ZWA), central warning system (ZWS) or via loudspeaker announcements in the plants.
- **Crane deployments and heavy transport** must be registered at phone: 99366 or via email to [krandisposition@basf.com](mailto:krandisposition@basf.com).

BASF operates buses on site to help reduce the amount of internal traffic. These are primarily to be used as transport. The buses must be kept clean and passengers must not be impeded. Transporting hazardous goods in buses is prohibited.

### 3.7 Use of Company Cafeterias

All persons on the site may use the services provided by the company cafeterias.

The company cafeterias may only be entered in clean clothing.

The Gesellschaftshaus Z 20, Feierabendhaus Z 60 and the meeting rooms at the Rehhütte may only be used when wearing street clothes.

### 3.8 Film, Photography and Audio Recordings

Taking photos and filming, regardless of the equipment used (cameras, video cams, camera cell phones, video cell phones, fixed cameras, web cams or other equipment suitable for taking photographs or filming) is prohibited on the site premises.



Exemption permits may be requested from the Media and Communication Service Center. There is no entitlement to an exemption.

Employees of BASF SE are permitted to use BASF devices for photography, audio and film recordings required for work-related purposes. The external use of these devices must be approved by the respective BASF unit and the Patents, Brands and Licenses (Intellectual Property) department. In addition, the specifications set out in Works Agreement 7 “Photography, Audio and Film Recordings” must be adhered to.

It is forbidden to record conversations without the involved parties’ consent.

Prior to the installation of fixed cameras, the Industrial Communications Technology (mail: [IKT-Stoerungsannahme@basf.com](mailto:IKT-Stoerungsannahme@basf.com); phone: 49000) and the BASF Data Protection Officer must be consulted.

### 3.9 Information Protection

Connecting hardware to the BASF network and copying software to BASF hardware requires prior written approval from the respective BASF IT Security specialized unit.

Refer to Section 4.3. for more information on bringing in and taking out IT devices and data storage devices.

BASF employees of the site and employees of the BASF Group can find more information on data protection on the [Be Secure Portal](#) and in the [Be Secure Employee guidelines](#).

The [“Checklist on Information Protection for Support when Collaborating with BASF”](#) is available for external partners.

### 3.10 Frequency Management

The use of radio equipment (e.g. wireless sensors, LoRaWAN, dedicated WLAN networks, remote control of cranes, walkie-talkies) at the Ludwigshafen site shall be registered with and approved by BASF Frequency Management (email: [Frequenzmanagement@BASF.com](mailto:Frequenzmanagement@BASF.com); Phone: 49000).

### 3.11 Disturbance of Site Peace

Without approval from BASF, it is prohibited to:

- Affix posters or write on walls,





- Distribute flyers, handouts or printouts,
- Sell goods or promote them,
- Hold a public assembly or event,
- Hold public, political party activities,
- Publicly collect money and signatures.

Non-public measures in buildings of site partners are excluded from this.

Industrial constitution laws of employee representatives and labor organizations remain unaffected by this.

### **3.12 Keeping the site clean**

The site must be kept in a clean condition. This includes refraining from contamination of any kind, in particular the proper disposal of waste by using the site's waste containers.

Feral domestic pigeons are not allowed to be fed on the site. This prohibition also includes the laying out of feed and foodstuffs that experience has shown to be ingested by pigeons. All topics of pigeon prevention are managed and coordinated exclusively by the Pest Prevention Unit.



## 4 Transfer of Objects

### 4.1 Bringing in and Taking out Objects by BASF Employees

BASF employees at the site can request a permanent approval to repeatedly bring in and take out company materials, machines, tools, other work equipment, goods and products (hereinafter referred to as objects) for work-related use from HR Kiosk.

For one-off transfers, a transfer note can be requested via the [Pass@ge](#) Portal. The approval for taking the object off site is issued by the disciplinary superior on the [Pass@ge](#) Portal. It is confirmed and registered at the site gate by site security on the [Pass@ge](#) Portal. In the event of a system failure, the respective disciplinary superior can create a one-off individual approval (emergency transfer permit) in the [Pass@ge](#) Portal which can be used to take an item off the site.

Private objects which are not required on the site are to be stored in the luggage storage rooms at each gate.

### 4.2 Bringing in and Taking out Objects by Third Parties

#### 4.2.1 Contractors

Contractors must submit the accompanying documents, such as a delivery note for goods, or material, machinery and tool list, when bringing an object onto the site. Aside from this, owners of a permanent permit require a permanent approval in order to bring in objects to the site and take out objects from the site on a recurring basis for work-related purposes. The permanent permit can be applied for in writing at site security.

Objects being taken off site by contractors is possible via the delivery note process in the [Pass@ge](#) Portal. The BASF representatives who are authorized to sign documents are listed in AccessIT (BASF's authorization management system) and approve the document in the [Pass@ge](#) Portal. It is confirmed and registered at the site gate by site security on the [Pass@ge](#) Portal.

#### 4.2.2 Site Partners and Other Third Parties

Site partners and other third parties require written approval by a person named by the site partner and who is authorized to sign in order to take objects from the site.

For site partners, the signature authorizations are handed over to the Office Management team at site security once they have been confirmed by Location Management.



The currently valid paper forms “Material, machinery and tool list” or “Permanent permit” or “Delivery note” are to be used. Bringing in objects to the site and taking out objects from the site on a recurring basis by third parties at the site for work-related reasons is generally checked via the material, machinery and tool list. The “Material, machinery and tool list” form is available at all gates. Aside from this, owners of a permanent permit require a permanent approval in order to bring in objects to the site and take out objects from the site on a recurring basis for work-related purposes. The permanent permit can be applied for in writing at site security.

For one-off situations where company or non-company objects are taken off site, a delivery note can be applied for. The “Delivery note” form can be ordered on the intranet from the central warehouse via Prosys or the Supplier Relationship Management.

### **4.3 Bringing in and Taking out IT Devices and Data Storage Devices**

Small mobile devices for communication and entertainment [e. g. (camera) cell phone, Walkman, iPod, CD player – also in vehicles–, MP3/ MP4 players, navigation systems, CB radios in a truck, for example] and the recognizable and corresponding storage devices for this purpose (such as CDs, cassettes, USB sticks) and other accessories may be carried freely. Combined devices (e. g. a cell phone with an integrated digital camera or smartphones) are assessed by their primary function and application (e. g. as a cell phone) and can also be carried freely. Other Site Regulations (e. g. the photography ban described in Section 3.8) and the connection and operation bans must be observed when using these devices. Operational matters and issues (e.g. interference with explosion protection, other systems) must be taken into account when using cell phones.

The devices listed above may not in any case be connected to the BASF network or operated with BASF hardware.

Approval is required (see Sections 4.1 and 4.2) in order to bring in and take out company and private laptops, information storage devices (all types of paper documents, all types of hardware and software to process data and information, as well as all other media suitable as data storage medium), as well as company objects.

The one-off and short-term bringing in and/or taking out of laptops or other information storage devices by people who are not BASF employees of the site, requires the corresponding registration with a “Material, machinery, tool list” at the site gate.

BASF site security is authorized to prohibit the bringing in and/or taking out in the case of doubts, as well as secure the devices, information storage media, etc. and inspect the stored information.



#### 4.4 Release for Private Use and Private Rental

If BASF enables BASF employees of the site to use objects for private purposes (release for private use or private rental), a corresponding process is to be created in the [Pass@ge](#) Portal. The printed transfer note or the corresponding process number must be provided without request to site security when taking objects off site (if necessary together with the respective TAN).

Bringing objects onto the site by BASF employees within scope of releases for private use or private rental are to be created as a transfer note “Register devices to be brought on to the site” in the [Pass@ge](#) Portal. The transfer notes (or the respective process number) must be provided to site security at a gate without request when bringing objects onto the site.

If BASF employees purchase objects from integration operations, the transfer note “One-time device removal from site” is to be provided to site security without request together with the respective receipt.

If third parties purchase objects from integration operations, the receipt or an invoice and a delivery note must be shown to site security when taking the objects out of the site.

If third parties provide their employees at the site objects for private use, a delivery note must be used.

If, for objects which have been released for private use, a vehicle is required to enter the site premises (e.g. to pick up foams or old furniture), entry may only occur in line with the pick-up times as stated in the [Pass@ge](#) Portal and from Gate 11, as well as for external sites, e. g. Limburgerhof, via the constantly occupied Gates.

#### 4.5 Checks, Gates, Other Specifications

Site security is authorized to perform checks, in case of doubt, secure objects, as well as deny entry or exit from the site with the objects.

All gates with staff can generally be used for goods transfer. For heavy transport, only the site Gates 11, 12, 13, 15, waste water treatment plant, Friesenheimer Insel and Limburgerhof (Gate 2) are available.

Special transports such as heavy loads, bulk transport, equipment, shall be agreed with the respective specialist department in good time.

The other applicable regulations at the site for bringing in and taking out objects are also to be observed, particularly the construction and installation specifications.



## 5 Contractors

### 5.1 General

This section of the Site Regulations applies to all contractors active on the site, including their subcontractors. Sections 1 to 4 also apply.

The term “Owner” comprises both BASF and those site partners who commission contractors to perform certain deliveries and/or services at the site.

The site partners must inform the contractors of the rules contained in the Site Regulations, particularly concerning the “Contractors” section. In addition, the site partner must ensure that the contractors, their employees and the subcontractors deployed at the site and their employees adhere to the Site Regulations.

If contractors commissioned by BASF deploy subcontractors at the site, the respective contractor must inform the subcontractor of the rules in the Site Regulations, in particular the “Contractors” section and ensure that the subcontractor and its employees adhere to these regulations.

When performing their work, the contractors must adhere to:

- the statutory and official provisions,
- in particular the regulations on environmental law,
- the employer's statutory liability insurance association regulations,
- particularly accident prevention regulations and
- the respective current state-of-the-art and the generally applicable rules of technology (e. g. DIN standards, VDI directives, VDE directives),

among others. In fulfilling their contractual obligations, contractors are to observe the statutory regulations for the prevention of illegal employment.

The contractors shall maintain strict secrecy with regard to all technical documents made available by BASF and other knowledge obtained in connection with the contractual cooperation concerning operational and business processes at BASF as well as other business or trade secrets of BASF. The documents provided by BASF may only be used for the contractually agreed purpose. Upon request from BASF, the respective contractors must return all documents, including all copies and samples upon request of BASF.

### 5.2 Certification of Contractors

All contractors and subcontractors working for BASF SE must have an occupational health and safety management system suitable for their company.







In areas that pose physical or chemical hazards or for activities that are associated with a higher risk potential, an externally recognized occupational health and safety management system is required on a case-by-case basis.

## **5.3 Administrative Provisions**

### **5.3.1 Construction Site Facilities**

A construction site installation is coordinated in line with a clearly defined construction and installation measure; it is restricted in its duration. It shall comprise all facilities required to complete a measure.

The contractor must set up and maintain its construction and installation sites and all corresponding facilities in line with the statutory provisions.

If BASF provides the contractor with buildings or the contractor may use BASF buildings too, the contractor must reimburse BASF for incurred costs.

Facilities of the contractor shall be labeled with a corresponding company sign. Only facilities (e. g. containers, lightweight halls) of non-combustible construction and stackable containers may be used. Following completion of the construction and installation measures, the contractor must disassemble all facilities and transport them off site. The areas must be free of materials, waste and contaminations. The area must be restored to the original state.

### **5.3.2 Contractor Support Centers**

A contractor support center is used for the completion of various measures within the scope of maintenance and for completion of investments related to operations at the BASF site. These facilities are not subject to limited time durations. The duration is primarily dependent on the duration of the contractual agreement.

BASF concludes rental agreements with the users of the contractor support centers. Connections to different operating networks requires prior approval from BASF.

The use of BASF facilities (areas, buildings), energy (electricity, pressurized air, steam) and water/waste water are billed to the contractor. The contractor must set up and maintain all facilities in line with the statutory provisions.

### **5.3.3 Fuels**

For safety reasons, contractors are prohibited from storing large amounts of fuels in canisters. Exceptions require the corresponding BASF approval.



### 5.3.4 Working Hours

All work is generally to be performed on workdays during the working hours. Working hours outside the normal work day must be agreed on with the owner. Contractors are furthermore responsible for compliance with statutory provisions regarding working hours.

## 5.4 Contractor's Duty of Care

### 5.4.1 Storage of Objects, Disposal of Waste and Waste Water

The contractors must ensure safe storage of their devices, facilities and equipment.

The contractors must keep its building and installation sites and support centers clean. They may not dispose of their waste and or waste water by:

- burning,
- burying (or allowing to penetrate the earth's surface in any way) and
- pouring out and/or pouring it into the canal system for waste water not requiring treatment.

Prior to commencing a task, the contractor in question and the respective owner must determine disposal methods. BASF generally provides containers and takes care of their removal.

Waste is to be presorted and separated by type in suitable, specified containers.

The costs for disposal by BASF will be billed to the contractor.

If the contractors do not fulfill their obligations regarding order and cleanliness, the owner is authorized to have the construction or installation site or contractor support center cleaned, with the costs incurred being billed to the contractor.

In line with the process described in Section 4.4 of LU-R-ENV 001, every disposal (recycling or removal) of excavation materials, building rubble and other mineral waste requires the unit named therein to be consulted. The unit then specifies the disposal process.

Unpolluted excavated materials and building rubble generally may not be used outside the site premises.

Polluted excavated materials and building rubble which must be stored above ground must be stored at the BASF waste dump, Flotzgrün.



#### **5.4.2 Tools, Machines and Equipment**

Tools, machinery, devices, apparatus and other facilities may only be used by instructed, appropriately trained and authorized personnel. Special permits may be required here (e. g. crane license).

Vehicles and trailers must be officially registered and insured.

#### **5.4.3 Damage**

Contractors must immediately inform site security in the event of damage to facilities and objects.

### **5.5 Regulations for Safety, Health and Environmental Protection**

In the event of accident and damage incidents, the immediate measures described in Section 3.3 are to be taken.

#### **5.5.1 Notification of Accidents at the Site**

Accidents are to be reported to the respective BASF bodies as per the specifications of the EHS directive LU-R-OSA 002 (see further applicable documents).

#### **5.5.2 Safety Installations, Safety Specialists**

All contractor facilities must comply with the applicable safety and fire protection provisions.

Mandatory safety equipment (e. g. fire extinguisher) must be available in sufficient amounts and sizes. They must be inspected regularly and must always be functional and ready for use.

The contractor's employees at the site must be instructed in the use of these fire extinguishers.

Only fire extinguishers suitable for the location may be used.

The contractors must provide the owner with the names of their responsible specialists for occupational safety according to the Arbeitssicherheitsgesetz (German Occupation Safety Act) and the trade association regulations in writing prior to starting work.

#### **5.5.3 Work Clothing**

Work clothing which comes into contact with chemical products must be cleaned separately.



#### **5.5.4 Presence, Documentation**

The presence of contractor and subcontractor employees at their respective workplaces is to be documented for safety reasons.



## **6 Regulations for Production Plants at the Site**

### **6.1 General**

This section of the Site Regulation applies to all production plants at the site. Sections 1 to 5 also apply.

### **6.2 Using the Infrastructure**

Connections to the BASF infrastructure require approval by BASF. Approval may only be denied if valid BASF interests and the further development of the site infrastructure are significantly impaired through this.

The use of streets for heavy transport is to be coordinated with the BASF specialized unit for Transport Service in due time.

### **6.3 Assignment of Areas**

Areas at the site, particularly

- block field areas,
- office space,
- laboratory and research centers,
- storage space,
- workshop areas,
- other building areas and
- parking spaces

are assigned by the respective BASF specialized unit.

All construction measures outside of buildings (e. g. conversions or new constructions, maintenance, demolition, excavation and pit work) are to be agreed with the responsible BASF specialized unit prior to start of construction.

### **6.4 Regulations for Safety, Health and Environmental Protection**

In the event of accident and damage incidents, the immediate measures described in Section 3.3 are to be taken.



#### **6.4.1 Inspection Safety Officer, Fire Protection Officer**

Inspection safety officers and fire protection officers can be trained by the site fire brigade against payment.

Verification of the training is to be presented to BASF upon request.

#### **6.4.2 Safety Facilities**

All facilities of the site partners must comply with the applicable safety and fire protection provisions.

Mandatory safety equipment (e. g. fire extinguisher) must be available in sufficient amounts and sizes. They must be inspected regularly and must always be functional and ready for use.

The employees at the site must be instructed in the use of these fire extinguishers. Only fire extinguishers suitable for the location may be used.

#### **6.4.3 Notification of Accidents at the Site**

Accidents are to be reported to the BASF specialized unit for occupational safety.

#### **6.4.4 Presence, Documentation**

The presence of employees at their respective workplaces is to be documented for safety reasons.

#### **6.4.5 Hazard Prevention**

In the event of emergency response operations (fires, emissions, etc.), the site fire department has the right to issue instructions to employees and access all building facilities as part of operational management.

To support and help prepare deployments, sufficient data (minimum record as per VCI voluntary commitment, safety data sheets) on the products and production procedures must be made available.

During a deployment, the plant must provide a banksman (person who provides instructions on the location at the start of the deployment), as well as a person with product-specific and operational knowledge.

Every plant is to operate a receiver for the central warning system at a constantly manned station. Constantly manned stations include control rooms, for example. The receiver is to be installed following agreement with the site fire department.



#### **6.4.6 Alarm and Hazard Prevention Planning**

As per the Hazardous Incidence Ordinance and the state fire and disaster protection laws (Landes-Brand- und Katastrophenschutzgesetz – LBKG-Rheinland-Pfalz), internal emergency plans, plant-specific alarm and hazard prevention plans, alarm plans and work instructions in the event of an alarm are to be compiled for the operating areas.

The site fire department creates the internal emergency plans and plant-specific alarm and hazard prevention plans together (support provided in the form of data procurement) with the plants.

The site fire department supports the plants in the creation of alarm plans and instructions in the event of an alarm. The fire department has all planning documents for deployments.

A plant's hazardous substance directory is the basis for plant-specific alarm plans. The site partners are responsible for the creation of their respective plant hazardous substance directory. The site partners submit the data to Hazardous Substances Management at the Ludwigshafen site and guarantee to keep this data current. The format for transfer is provided by the Hazardous Substances Management unit at the Ludwigshafen site. Central EHS units, such as the fire brigade or environmental monitoring will use this data for research in the event of an incident or to create plant alarm plans. In the event of major incidents (incl. incidents with consequences outside the site premises), the provisions in the major incident alarm plan apply.

#### **6.4.7 Preventive Fire Protection**

For new buildings or conversions of existing plants, the site fire department will prepare a technical report within the scope of the construction approval procedure.

When installing hazard alarm systems, fire fighting systems, smoke and heat extraction systems, as well as emergency communication systems in elevators, for example, technical consultation with the site fire department are absolutely necessary. Hazard alarm systems and emergency communication systems are to be connected to the central hazard alarm system of the site fire department.

#### **6.4.8 Breathing Air Network**

The site fire department must be informed when safety-relevant measures are taken on the breathing air network. The breathing air network must not be used for purposes other than those for which it is intended.



## **6.5 Additional Regulations for Site Partners**

### **6.5.1 Site Coordination**

All producing companies at the site are to regularly and in good time inform each other and agree upon all site-related concerns, plans and changes of mutual interests in order to ensure smooth and rational collaboration.

All plant operators agree to comply with the BASF noise protection concept at the site. This ensures that the requirements of the TA Lärm, in particular the target values of the noise protection concept with regard to noise immisions in the residential neighborhood, are achieved.

BASF monitors the soil and groundwater protection centrally at the site. All plant operators agree to adhere to the “BASF soil and groundwater protection concept”. Plant failures which can result in soil and groundwater contamination must immediately be reported to the BASF Environmental Monitoring Center. The responsible specialized unit at BASF handles the potentially required protection and restoration measures and coordinates them with the responsible authorities. If soil or groundwater contaminations exist, the site partner must accept any possible investigative and restorative measures which result from the requirements of the authorities.

### **6.5.2 Plant Safety**

Production plants are constructed and operated at the Ludwigshafen site. These plants display high levels of plant safety, occupational safety, health protection and environmental protection. The basis for this is an effective concept to ensure safety, health and environmental protection.

During completion of investment projects, the BASF multi-step system of safety, health and environmental protection observations (SHE) is to be used to verify the safety concept.

For the SHE observations, an interdisciplinary team of specialists from the site partner, the BASF Plant Safety specialized unit and the site fire department investigate whether the internal BASF specifications for plant safety are adhered to in addition to the statutory requirements. Alongside safety-related issues in the new plant, in particular aspects from the integration of the new plant into the BASF Verbund, as well as the location of the new plant in relation to plants in the surrounding environment are considered. The safety approach at BASF is based on reducing an existing risk to an acceptable level, whereby different measures can result in the same protection.





A description of the BASF SHE observation procedure can be found in LU-R-PRS 002 (“Safety, Health and Environmental Protection (SHE) at Design and Construction of Process Plants”).

### **Specifications**

- Of the five steps listed in the BASF observation process, steps 0, 1, 2 and 4 are mandatory for third parties. The necessity of step 3 is derived from the risk potential of the observed plant. The discussion for consultation of Level 3 is determined in SHE level 2.
- An observation in the form of stage 0 takes place as early as possible in the process/project development phase or at the start of plant planning. Stage 0 topics include determining the main potential hazards posed by the substances and the process or plant, discussing options for intrinsically safe process management, making a preliminary decision on the processes to be used in the plant, determining the requirements at the site with regard to plant layout, fire protection, infrastructure, logistics and environmental protection and dealing with legal and regulatory approval issues, e.g. environmental permits.
- If the site partner has its own adequate system to perform safety observations during the completion of investment projects, the site partner and the responsible BASF specialized unit decide which system is used. The BASF specialized unit participates in the observations in both cases in order to include site concerns regarding plant safety. If an agreement cannot be made, the BASF system is applied.

Through regular analyses of existing plants with inspection of the safety concept based on the current guidelines, the site partner must ensure that the plant is in line with the state of the art (with regard to technology and safety) throughout its entire life cycle. The inspection of the safety concept must be commissioned at ESE/SP – Competence Center for Plant Safety.

The site partner ensures that plant modifications or other modifications in their plant are inspected for their plant-safety relevance and implemented following a hazard assessment with the corresponding countermeasures. The interactions with the existing safety concept must also be observed.

The findings from incidents – both internal and external – must also continuously be integrated into the safety concept.



In order to ensure the high demands placed on the safety at site partner plants, it is necessary that the operator has the corresponding knowledge here in order to provide expert specialist support for the internal BASF requirements. In this case, the participation in internal BASF seminars is highly recommended, or expertise must be gained in another manner. The recommended BASF seminars include, in particular:

- Anlagensicherheit für Naturwissenschaftler u. Ingenieure (Process Safety for Scientists and Engineers)
- Beherrschung exothermer Reaktionen (Controlling Exothermic Reactions)
- Explosionsschutz für Betriebsleiter und Ingenieure (Explosion Protection for Plant Managers and Engineers)
- Anlagenänderungen (Sicherer Umgang mit Anlagenänderungen/ Management of Change)

### **6.5.3 Audits**

BASF is authorized to inspect the compliance with the Site Regulations with its own audit team.

The site partner grants the required access rights, right to information, investigation and reporting rights. The site partners and BASF create a joint report. If defects are determined together, the site partner will immediately implement measures to rectify these and inform BASF of the performed measures.

### **6.5.4 Fault Management at the Site**

The site partners participate in the Emergency Response Steering Committee which coordinates fault management at the site and specifies all required measures to prevent and avoid hazards. The statutory provisions form the basis for all decisions to be made in this regard.

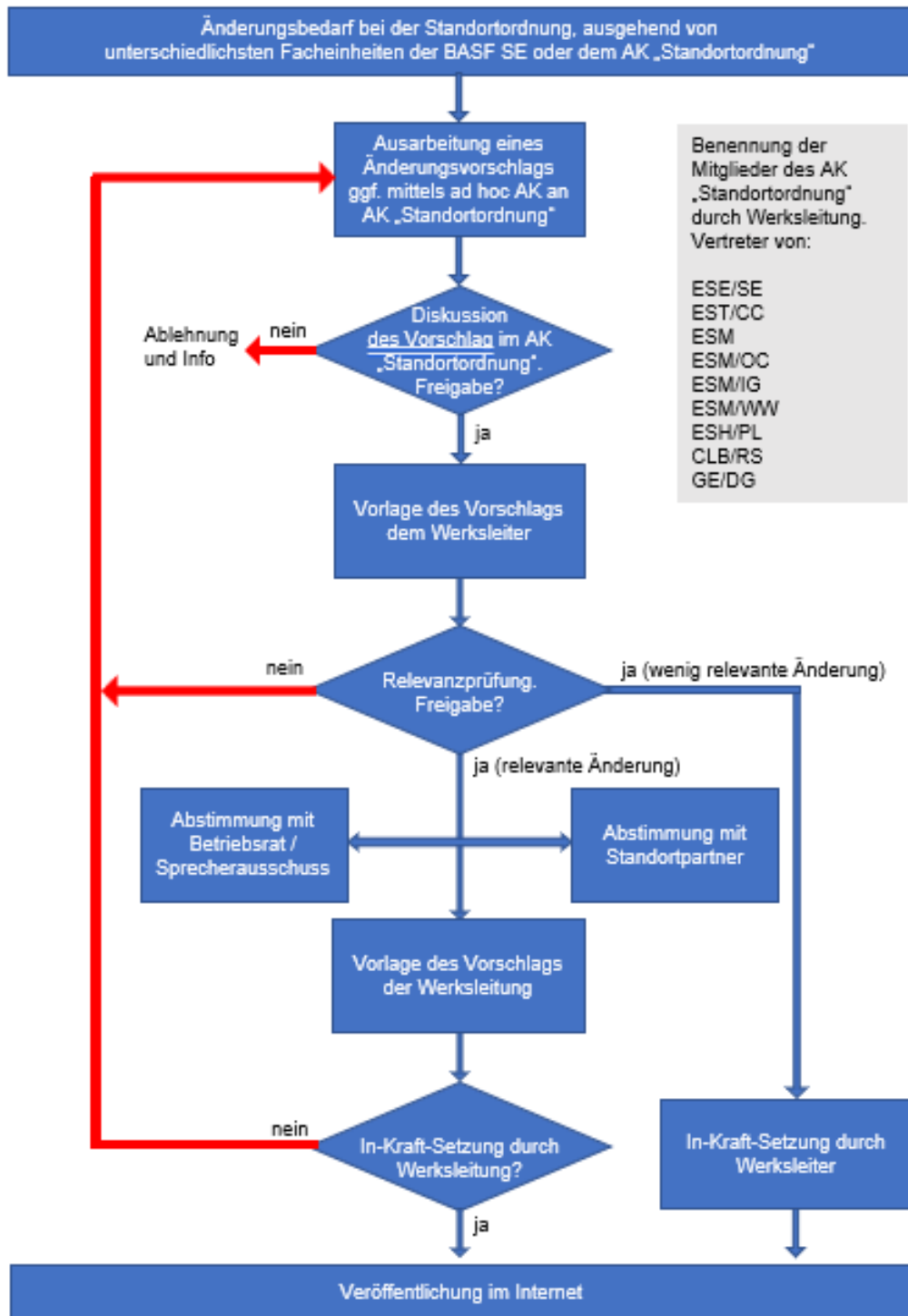


## Annex 1: BASF specialized units

Section	BASF specialized unit	Org. Code
2, 3.1, 3.3, 3.9, 3.11, 4, 5.4.3	Site Security Ludwigshafen	ESM/WW
2.4, 4.2.2	Investigation Service	ESM/WE
3.8, 3.10	Industrial Communications Technology	GET/EL
2.2.1, 3.3, 4.5	Site Service Limburgerhof	EST/EF
3.3, 6.4.1, 6.4.5, 6.4.6, 6.4.7, 6.4.8, 6.5.2	Site Fire Department	ESE/F
3.4, 6.5.1	Environmental Monitoring Center	ESE/MU
3.3	Occupational Medicine and Health Protection	ESG
3.6, 4.5, 5.3.3, 6.2	Transport and Crane Service	EST/CS
5.3.2, 5.3.3, 6.3	Site Area Management Ludwigshafen	ESM/IF
5.4.1, 6.5.1	Soil, Groundwater and Contaminations	ESE/PE
5.4.1	Mineral Waste, Sewers and Roads	ESI/AI
5.5.1, 6.4.3, 6.5.2	Occupational and Plant Safety	ESE/S
6.2	Pipe Racks, Product and Energy Supply Lines	ESI/EF
6.4.6	Hazardous Goods Management	ESE/SE
6.5.1	Air, Noise and Hazardous Goods Monitoring	ESE/ML
6.5.3	Audits/Consultation for Safety & Environment, BASF Group	COR/RA



## Annex 2: Process Diagram





# Site Regulations BASF SE

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