



**CIAC ADDENDUM to:  
RC®-14001/ISO-9001 Audit Report**

**BR#: 10018027**

**Sales Order: SO185712US**

<b>Standard(s):</b>	<b>RC®-14001:2015 Responsible Care® Management System</b> <b>ISO-9001:2015 Quality Management System</b>
<b>Audit Type:</b>	<input type="checkbox"/> 1 <sup>st</sup> Surveillance <input type="checkbox"/> 2 <sup>nd</sup> Surveillance <input checked="" type="checkbox"/> Recertification 100% Remote Audit in accordance with IAF-MD4 Requirements Successfully Completed using Webex
Type of registration:	<input type="checkbox"/> Single site <input checked="" type="checkbox"/> Multi Site

Organization Name: Address: City, State, Zip: Country:	Lanxess Canada Co./Cie 25 Erb Street Elmira, ON N3B 2J3 Canada	
Organization representative:	Mr. Jamie Petznick	
Audit Dates:	March 1-5, 2021	
DQS audit team:	Name	Role
	Linda Mitchell	Lead Auditor
	Jim Cox	Auditor

<b>Certificate scope</b>	9K – Manufacture, design, logistics, and supply of specialty organic chemicals, industrial chemicals and lubricant additives. RC – Manufacture, design, logistics, and supply of specialty organic chemicals, industrial chemicals and lubricant additives.
<b>Primary industry code ( EA Code)</b>	12

Number of employees at this site:	140
Boundaries of the site:	75 Acres; 22 Developed



## 1. Certification Recommendation

Thank you for your cooperation during the recent audit of your organization. This report describes the audit results including strengths, opportunities, and weaknesses. These results were presented to your management at the closing meeting of the audit. You may now use these results to further strengthen your management system. We look forward to continue our partnership towards sustainable business success.

### Overall Evaluation

- The management system is fully effective and fulfills the requirements of the applied standard(s). No nonconformities were identified.
- The management system is mostly effective and fulfills the requirements of the applied standard(s), except for the identified nonconformities – see action plan(s).
- The management system is not fully effective and compliance to the Standards was not fully demonstrated during the audit. Further activities are needed to ensure full compliance and effectiveness of the management system – see action plan(s).

### The audit team recommends to DQS:

<input type="checkbox"/>	The maintenance of the certificate
<input type="checkbox"/>	The maintenance of the certificate as soon as implementation of corrective actions has been demonstrated.
<input checked="" type="checkbox"/>	The issuance of the certificate
<input type="checkbox"/>	The issuance of the certificate as soon as implementation of corrective actions has been demonstrated.
<input type="checkbox"/>	The withdrawal of the certificate.
<input type="checkbox"/>	Not applicable (due to special type of audit/report or remote location audit).

## 2. CIAC Elements Review

The alignment between CIAC and RC14001 were reviewed with the following evidence shows acceptance:

1. Two employees of Lanxess are members of Ontario Regional TransCAER committee and get regular updates on TransCAER activities and have attended the November, 2020 Webinar training. Also, the Township presented the road repairs project slated for 2021 to the CAP members at the most recent meeting. This project will impact the truck routes to and from the plant. The Township, Lanxess and the CAP are working together to ensure the safe transportation during the repair project.
2. Worst Case scenario review has been revised with the elimination of a high hazard operation at the site. The revised document was shared with the CAP during their February, 2021 meeting.
3. CIAC recommitment letter was signed and filed on 3/1/2021. Members of the management team are also members of various CIAC committees, including: Ontario Environmental Committee, Ontario West Leadership Committee, CIAC Board, and Safety Health Group.
4. CIAC data benchmarking includes Process Safety Report completed 7/29/2020; NPRI Emissions report submitted 7/17/2020; Safety submission on 3/18/2020.
5. The Ethics and Sustainability Recommitment letter is dated 1/13/2020.
6. Dialogue, meeting with several community leaders as follows:

Current chair of the TAG (Technical Action Group) and member of RAC (Remediation Action Council). This person is actively involved in the 30 year remediation efforts by the Site. The TAG meets at least 6 times a year and the mission is to ensure that the Remediation efforts are ongoing. Last TAG meeting was 2/18/2021. The RAC meets semi-annually and the make up of the Council includes TAG representatives, Site representatives, the Mayor and Council members. The RAC is kept informed of the remediation activities. Last RAC meeting was 12/10/2020.

Met with two residents of the community. One was from a neighboring business and the other was a long time resident of the City. Both individuals were well aware of the Site, their operations and the Site's involvement and communication with the community. Both appreciated the good job Lanxess is doing to keep the residents informed of activities at the Site. Both residents are active members of the CAP and attend regular meetings. Last CAP meeting was 2/17/2021. Lanxess has held community open houses in the past and intends to host another one post-COVID.

7. RC promotion was evident from postings and other forms of communication. Employee interviews showed they had a good understanding of RC and how they support the company, community and RC programs.



### 3. Further Audit results

Is this an ACC Member Company?	If yes, please complete all lines below. If No, please check here and skip to next section: <input type="checkbox"/>
Product Safety Code Implementation:	Product safety is handled at the Corporate level. Technical information, labeling and SDSs are completed at Corporate. The Site works with Corporate for material approvals and related documents.
Process Safety Code Implementation:	The Site has a very comprehensive PHA process, following the Corporate model. Also, the MOCs and PSSRs are included in this process. The Site has completed approximately half of the processes.
Security Code Implementation:	In Canada, the CIAC Security Code falls under the Lanxess “Operational Code”, section 4.4. This section establishes that the “Company shall have a program to address acts of malicious intent by those outside and inside the Company”. This program has been fully evolved using a risk-based approach and including cybercrime. The site also participates in the Lanxess corporate “North American Site Security Plan”. IT security is directly addressed by the “Lanxess IT Protocol”.
Guiding Principles Supported and Promoted:	The Site follows the CIAC requirements which are defined and align with ACC Guiding Principles.
Environmental Performance Measures:	Metrics are submitted to the CIAC and submitted to Corporate for submission to ACC.
Energy Metrics Monitoring and Reporting:	Site KPIs are measuring energy on a monthly basis.
Additional comments specific to ACC: (if applicable)	None Noted

# DQS Inc. Audit Report



## 4. Management and Contact Persons

Top Manager at site:	Helder Botelho
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