



ALTANA

Table of Contents

1	Performance Indicators
2	Environmental Performance Indicators
6	Economic Performance Indicators
6	Transport
7	Safety Performance Indicators
10	Human Resource Performance Indicators
10	Compliance
11	GRI Index
	Contact

Performance Indicators

The following pages provide an overview of our corporate activities in the period from 2006 or 2007 to 2014 on the basis of various performance indicators, which are grouped into the areas environment, economy, transport, safety, human resources, and compliance. In some areas, we check to see whether the recording of performance indicators needs to be expanded. The environmental performance indicators apply to the period from October 1, 2012, to September 30, 2014.

Companies that belonged to ALTANA for the entire period in which the performance indicators were recorded are included in the performance indicators.

2	Environmental Performance Indicators
6	Economic Performance Indicators
6	Transport
7	Safety Performance Indicators
10	Human Resource Performance Indicators
10	Compliance

Performance Indicators

Environmental Performance Indicators

We represent the environmental performance indicators both as absolute values and in relation to gross value added (GVA) (personnel expenses + EBITDA). The link to value creation is a means of compensating for growth. Where targets are specified, data related to gross value added are used.

Energy Consumption

Oil (absolute)

ALTANA	
in MWh	
2014	17,730
2013	24,508
2009	28,993
2007	39,588

Oil (related to GVA)

ALTANA	
in kWh/€	
2014	0.02
2013	0.04
2009	0.07
2007	0.08

Natural gas (absolute)

ALTANA	
in MWh	
2014	404,130
2013	211,006
2009	154,339
2007	169,035

Natural gas (related to GVA)

ALTANA	
in kWh/€	
2014	0.55
2013	0.33
2009	0.36
2007	0.35

Electricity (absolute)

ALTANA	
in MWh	
2014	258,144
2013	204,566
2009	174,328
2007	198,416

Electricity (related to GVA)

ALTANA	
in kWh/€	
2014	0.35
2013	0.32
2009	0.41
2007	0.41

Emissions

Total CO₂ (Scope 1 + Scope 2) (absolute)

ALTANA	
in t	
2014	219,165
2013	148,121
2009	122,445
2007	146,131

Total CO₂ (Scope 1 + Scope 2) (related to GVA)

in kg/€		
2014	0.30	Target for 2014: 0.24
2013	0.23	
2009	0.29	
2007	0.30	
Target for 2020: 0.21		

CO₂ (Scope 1) (absolute)

ALTANA	
in t	
2014	91,486
2013	51,985
2009	41,026
2007	47,084

CO₂ (Scope 1) (related to GVA)

in kg/€		
2014	0.12	
2013	0.08	
2009	0.10	
2007	0.10	

CO₂ (Scope 2) (absolute)

ALTANA	
in t	
2014	127,679
2013	96,136
2009	81,419
2007	99,047

CO₂ (Scope 2) (related to GVA)

in kg/€		
2014	0.17	
2013	0.15	
2009	0.19	
2007	0.21	

Ozone-depleting substances as raw material or product: 0

Water

Drinking water (not including water as raw material) (absolute)

ALTANA	
in m ³	
2014	1,368,130
2013	562,887
2009	698,082
2007	737,126

Drinking water (not including water as raw material) (related to GVA)

in l/€		
2014	1.85	Target for 2014: 1.035
2013	0.89	
2009	1.64	
2007	1.53	
Target for 2017: 1.003		





Scope 1: CO₂ emissions from our own energy generation (combustion of oil and gas)

Scope 2: CO₂ emissions from purchased energy (electricity, steam). With electricity, the values of the national networks are used as a basis. The values of the International Energy Agency (IEA) are used.

Surface / groundwater (absolute)

ALTANA	
in m ³	
2014	1,181,952
2013	737,582
2009	462,225
2007	419,805

Surface / groundwater (related to GVA)

in l/€		
2014		1.60
2013		1.16
2009		1.09
2007		0.87



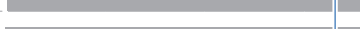

Wastewater indirect discharge: 22 tons COD

Wastewater direct discharge: 12 tons COD (COD = chemical oxygen demand)

Waste**Hazardous waste (absolute)**

ALTANA	
in t	
2014	18,712
2013	18,573
2009	14,562
2007	17,988





Hazardous waste (related to GVA)

in g/€			
2014		Target for 2014: 31.10	25.32
2013			29.32
2009			34.29
2007			37.33
Target for 2017: 30.16			

Non-hazardous waste (absolute)

ALTANA	
in t	
2014	9,302
2013	6,214
2009	6,312
2007	8,717

Non-hazardous waste (related to GVA)

in g/€			
2014		Target for 2014: 11.98	12.59
2013			9.81
2009			14.86
2007			18.09
Target for 2017: 11.62			

Inert waste

ALTANA	
in t	
2014	7,728

Waste from demolition projects

ALTANA	
in t	
2014	8,059
2013	4,609

Hazardous waste for disposal (absolute)

ALTANA	
in t	
2014	4,397
2013	5,010
2009	3,795
2007	6,480

Non-hazardous waste for disposal (absolute)

ALTANA	
in t	
2014	4,525
2013	2,152
2009	3,126
2007	4,935

Recyclable hazardous waste (absolute)

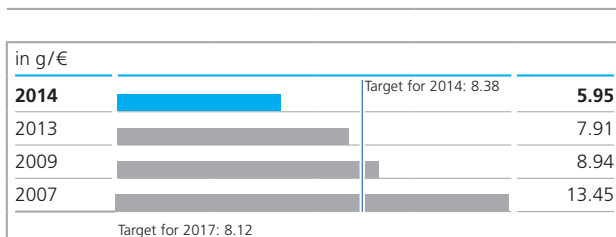
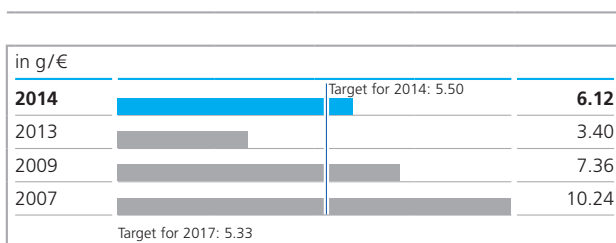
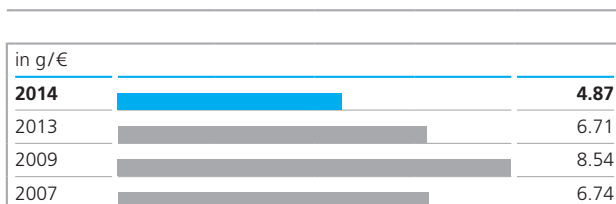
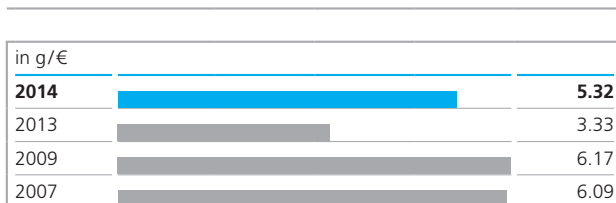
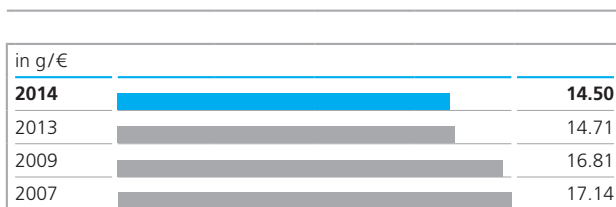
ALTANA	
in t	
2014	3,597
2013	4,247
2009	3,627
2007	3,248

Recyclable non-hazardous waste (absolute)

ALTANA	
in t	
2014	3,929
2013	2,110
2009	2,622
2007	2,934

Hazardous waste for thermal use (absolute)

ALTANA	
in t	
2014	10,717
2013	9,316
2009	7,140
2007	8,260

Hazardous waste for disposal (related to GVA)**Non-hazardous waste for disposal (related to GVA)****Recyclable hazardous waste (related to GVA)****Recyclable non-hazardous waste (related to GVA)****Hazardous waste for thermal use (related to GVA)**

Non-hazardous waste for thermal use (absolute)

ALTANA	
in t	
2014	847
2013	1,952
2009	564
2007	848

Non-hazardous waste for thermal use (related to GVA)

in g/€		
2014		1.15
2013		3.08
2009		1.33
2007		1.76

Biodiversity

Locations of operation in, or adjacent to, protected areas and areas of high biodiversity value: 1

Economic Performance Indicators

The gross value added (personnel expenses + EBITDA) is used as a reference figure for the environmental performance indicators. This calculation compensates for the increasing consumption due to growth. Further economic performance indicators are listed in the annual report.

Gross value added

in € thousand	
2014	739,083
2013	633,383
2009	424,675
2007	481,814

Finished products

ALTANA	
in t	
2014	504,927
2013	419,061
2009	289,704
2007	350,797

Raw material use: approx. 490,000 tons of fossil, mineral, and metallic raw materials, additionally water

Transport































ALTANA distribution channels for finished products

	Water	Road	Air	Rail
in t				
2014	134,375	372,659	3,709	2,154
2013	106,618	308,959	1,583	2,224
2009	70,387	208,170	2,125	3,627
2007	83,742	291,193	9,687	2,723































Safety Performance Indicators

In comparison to the previous year, our safety performance indicators improved considerably. The targets for 2014 were reached. Companies recently acquired by ALTANA that have strongly deviating safety performances will only be included in this evaluation after a period of three years.

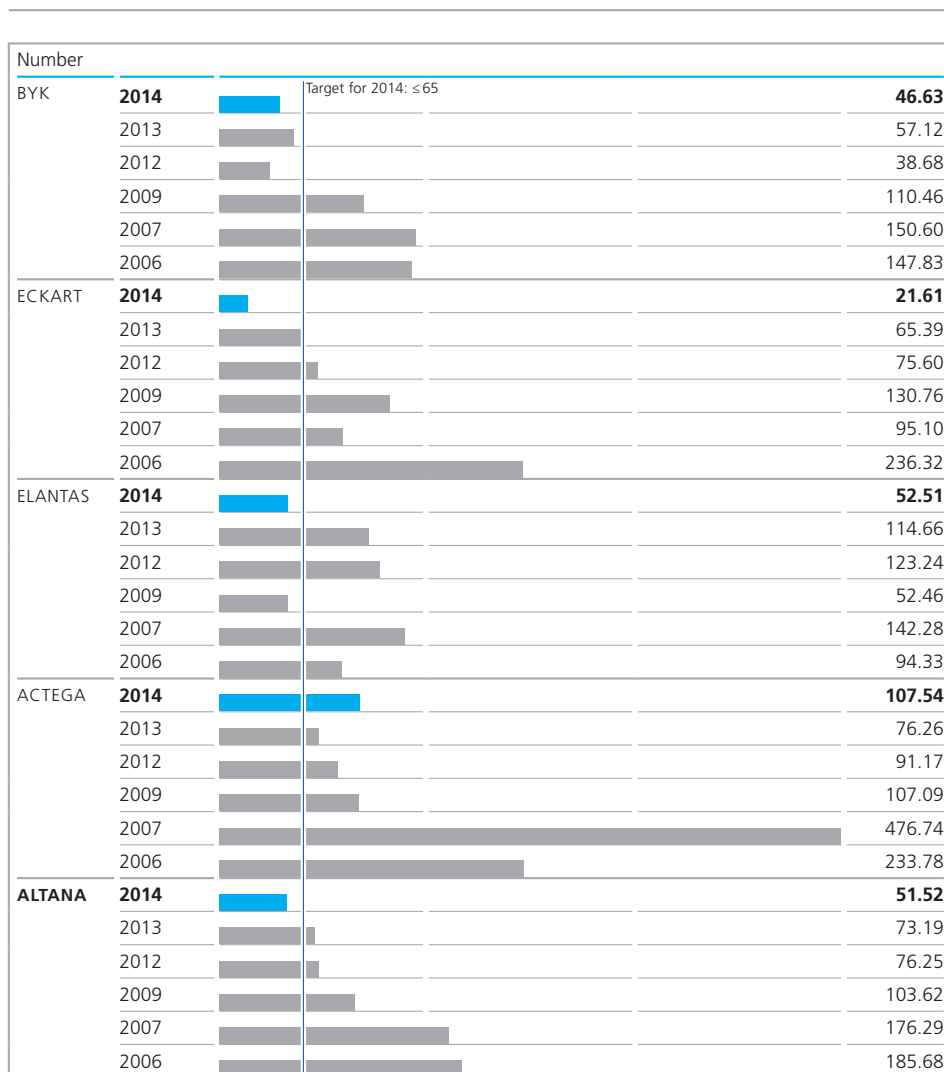
WAI 1 (number of occupational accidents with one or more days of lost work time per million working hours)

Number			
BYK	2014		3.03
	2013		8.61
	2012		4.99
	2009		5.57
	2007		7.83
	2006		6.07
	ECKART	2014	
2013			7.19
2012			6.24
2009			12.45
2007			12.87
2006			18.67
ELANTAS		2014	
	2013		4.91
	2012		7.32
	2009		4.14
	2007		12.35
	2006		8.98
	ACTEGA	2014	
2013			7.97
2012			12.86
2009			9.31
2007			16.51
2006			27.99
ALTANA		2014	
	2013		7.22
	2012		7.29
	2009		8.15
	2007		12.26
	2006		14.92

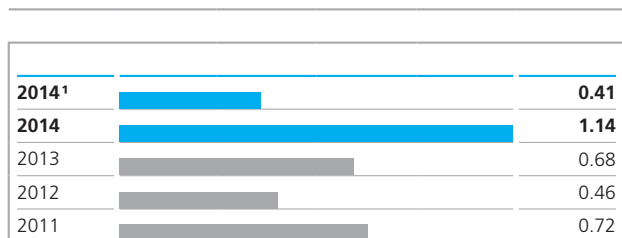
WAI 2 (number of occupational accidents with more than three days of lost work time per million working hours)

Number			
BYK	2014		2.72
	2013		4.30
	2012		1.66
	2009		4.18
	2007		3.20
	2006		4.96
	Target for 2014: ≤4.00		
ECKART	2014		2.52
	2013		4.67
	2012		4.86
	2009		7.78
	2007		7.87
	2006		11.57
	ELANTAS	2014	
2013			4.91
2012			6.71
2009			4.14
2007			10.40
2006			6.74
ACTEGA		2014	
	2013		6.26
	2012		7.01
	2009		5.59
	2007		11.30
	2006		20.12
	ALTANA	2014	
2013			4.85
2012			4.67
2009			5.57
2007			8.00
2006			10.33

WAI 3 (number of lost work days due to occupational accidents per million working hours)

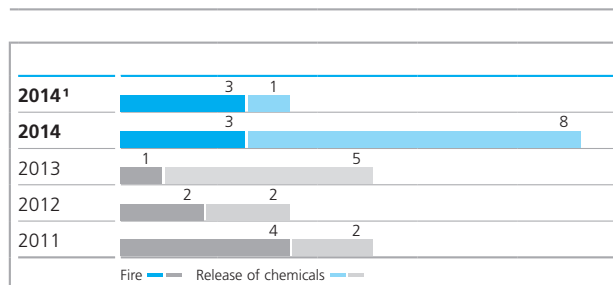


Number of damage incidents according to process safety incident (PSI) for 2014/2013/2012/2011 related to one million working hours



¹ According to ALTANA's specific definition of significant incidents.

Number of damage incidents in absolute terms for 2014/2013/2012/2011 differentiated according to fire and release of chemicals



¹ According to ALTANA's specific definition of significant incidents.

Human Resources
Performance Indicators

Share of part-time employees

in %	
2014	6.4
2013	6.6
2012	8.4
2011	8.1
2010	7.2

Share of women in management positions (in Germany)

in %	
2014	21.3
2013	20.1
2012	18.7
2011	18.0
2010	16.5

Share of employees with access to company retirement plans or company-funded pension plans

in %	
2014	79.2
2013	83.2
2012	82.7
2011	81.8
2010	81.7

Share of women (in Germany)

in %	
Employees	30
Managerial staff	9
Supervisory Board	25
Executive Management	0

Sickness rate in Germany: 4.2 %

Compliance

Penalties

- Concerning environmental law: 19,000 Euro, 6,000 Euro, 1,500 Euro
- In connection with products and services: 1,300 Euro
- Regarding legal norms: 0

Corruption

- Audits with corruption aspects: 19
- Employees trained to fight corruption with the help of e-learning programs:
 - new staff members and 270 employees in Italy
 - 300 managers received special training

GRI Index

In its sustainability reporting, ALTANA follows the international G3 guidelines of the Global Reporting Initiative (GRI). The latter developed a reporting framework that can be used worldwide containing principles and indicators with which organizations can measure their economic, environmental, and social performance.

GRI Index

In the following list, you will find the status of ALTANA regarding all of the indicators, in some cases with commentary and explanations. Explanations are particularly important in cases where we did not discuss the indicators in our sustainability report or the annual report.

ALTANA fulfills the indicators “1. Strategy and Analysis,” “2. Organizational Profile,” “3. Report Parameters,” and “4. Governance, Commitments, and Engagement.”

In the list, we explain our management approach to all of the performance indicator groups. ALTANA fulfills at least 23 core indicators.

Therefore, and due to the explanations of all of the GRI indicators, ALTANA concludes from an in-house assessment that the requirements of application level A have been fulfilled.

 Completely covered Partly covered Not covered

N = Notes ALTANA Sustainability Report 2014
 SR = ALTANA Sustainability Report 2014
 C = Cover ALTANA Sustainability Report 2014
 AR = ALTANA Annual Report 2014

The UN Global Compact’s Ten Principles

Human Rights:

- 1 Businesses should support and respect the protection of internationally proclaimed human rights; and
- 2 make sure that they are not complicit in human rights abuses.

Labor:









- 3 Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining;
- 4 the elimination of all forms of forced and compulsory labor;
- 5 the abolition of child labor; and
- 6 the elimination of discrimination in respect of employment and occupation.











Environment:










- 7 Businesses should support a precautionary approach to environmental challenges;
- 8 undertake initiatives to promote greater environmental responsibility; and
- 9 encourage the development and diffusion of environmentally friendly technologies.

Anti-Corruption:







- 10 Businesses should work against corruption in all its forms, including extortion and bribery.










		Global Compact			
GRI Standard	Information	Principle	Reference	Status	Explanations
1.	Strategy and Analysis				
1.1	Statement from the most senior decision-maker of the organization (e. g., CEO, chair, or equivalent senior position) about the relevance of sustainability to the organization and its strategy.		SR, p. 1, Preface		
1.2	Description of key impacts, risks, and opportunities.	Environment: 8, 9	SR, p. 10		<p>ALTANA's effects lie in social involvement and promotion of education, as well as in its activities as a good fellow citizen. With many of its products and innovation, ALTANA can help stakeholders make improvements relating to issues such as climate protection and resource efficiency. In many countries, ALTANA creates good jobs with a high level of job security and a good environmental record, as well as fair payment. A family can live from the wages.</p> <p>ALTANA controls potential negative effects of procedures and products via appropriate risk management measures.</p> <p>Sustainability trends that are important for ALTANA include climate protection and resource efficiency, as well as mobility and communication. Opportunities arise for innovative product solutions that can ensure long-term economic success. Risks arise from dependency on crude oil as a fossil raw material source and source of energy. Rising crude oil prices thus have a twofold negative effect on ALTANA. We counter them by looking for alternative raw material sources and by using renewable energies, cogeneration, and by improving our energy efficiency.</p>
2.	Organizational Profile				
2.1	Name of the organization.			C 	
2.2	Primary brands, products, and/or services.		C, AR, pp. 35–39		
2.3	Operational structure of the organization, including main divisions, operating companies, subsidiaries, and joint ventures.		C, AR, pp. 35–39		
2.4	Location of organization's headquarters.			C	Wesel
2.5	Number of countries where the organization operates, and names of countries with either major operations or that are specifically relevant to the sustainability issues covered in the report.		C, AR, pp. 44–45		
2.6	Nature of ownership and legal form.		C, AR, p. 69		
2.7	Markets served (including geographic breakdown, sectors served, and types of customers/beneficiaries).		AR, pp. 35–38		

GRI Standard Information	Global Compact		Reference	Status	Explanations
	Principle				
2.8	Scale of the reporting organization, including: <ul style="list-style-type: none"> – number of employees; – net sales (for private sector organizations) or net revenues (for public sector organizations); – total capitalization broken down in terms of debt and equity (for private sector organization); – quantity of products or services provided. 		AR		
2.9	Significant changes during the reporting period regarding size, structure, or ownership including <ul style="list-style-type: none"> – the location of, or changes in operations, including facility openings, closings, and expansions; – changes in the share capital structure and other capital formation, maintenance, and alteration operations (for private sector organizations). 		SR, p. 10		Acquisitions strengthen our sustainability profile.
2.10	Awards received in the reporting period.		SR, pp. 13, 49–50		
3.	Report Parameters				
3.1	Reporting period (e. g. fiscal/calendar year) for information provided.		C		
3.2	Date of most recent previous report (if any).		C		October 2013
3.3	Reporting cycle (annual, biennial, etc.).		C		Annually
3.4	Contact point for questions regarding the report or its contents.		C		
3.5	Process for defining report content, including <ul style="list-style-type: none"> – determining materiality; – prioritizing topics within the report; – identifying stakeholders the organization expects to use the report. 				In addition to the approaches discussed in the sustainability report, most of our companies have environmental management systems. Within this framework, the companies specify their relevant environmental effects. The environmental performance indicators that ALTANA reports are a cross-section of them. In addition, occupational and procedural safety are always important for companies in the chemical industry. ALTANA orients itself to the Responsible Care report of the German VCI and Global Compact, among other things.
3.6	Boundary of the report (e. g. countries, divisions, subsidiaries, leased facilities, joint ventures, suppliers). See GRI Boundary Protocol for further guidance.		C		The report considers the whole company. For the environmental performance indicators, only the locations where chemical substances or mixtures are produced are included. New companies that did not belong to ALTANA for the entire reporting year have not yet been considered in the environmental key figures either.
3.7	State any specific limitations on the scope or boundary of the report.				The report does not contain representations. The environmental performance indicators do not encompass locations that only have offices or laboratories, or leased buildings.















		Global Compact			
GRI Standard	Information	Principle	Reference	Status	Explanations
3.8	Basis for reporting on joint ventures, subsidiaries, leased facilities, outsourced operations, and other entities that can significantly affect comparability from period to period and/or between organizations.				ALTANA did not enter any joint ventures in the period under review. Outsourcing exists primarily in the areas of finished goods logistics, maintenance and repair, and investment projects. Landa Digital Printing and ALTANA have been working as strategic partners since 2014.
3.9	Data measurement techniques and the bases of calculations, including assumptions and techniques underlying estimations applied to the compilation of the indicators and other information in the report.				The data are defined by the Group and reported by managerial staff in the companies on specified dates to ALTANA Corporate EH&S, which evaluates them. During the evaluation and visits, there are plausibility tests.
3.10	Explanation of the effect of any re-statements of information provided in earlier reports, and the reasons for such re-statement (e. g., mergers/acquisitions, change of base years/periods, nature of business, measurement methods).				Some information is only made available on the Internet. Changes in the scope of reporting can arise from the purchase and sale of companies or parts of companies. This is reported on in the "Management" chapter of the sustainability report.
3.11	Significant changes from previous reporting periods in the scope, boundary, or measurement methods applied in the report.				Acquired companies are included in the report and the recording of performance indicators if they belonged to ALTANA for the entire year under review.
3.12	Table identifying the location of the Standard Disclosures in the report.		C		In this document.
3.13	Policy and current practice with regard to seeking external assurance for the report. If not included in the assurance report accompanying the sustainability report, explain the scope and basis of any external assurance provided. Also explain the relationship between the reporting organization and the assurance provider(s).				Most of the companies that report environmental performance indicators to ALTANA have certified environmental management systems. Within the framework of the annual audit, there are random-sample audits of these figures in the companies. Further verification is not carried out for cost reasons.
4.	Governance, Commitments, and Engagement				
4.1	Governance structure of the organization, including committees under the highest governance body responsible for specific tasks, such as setting strategy or organizational oversight.		SR, pp. 10–11, AR, p. 69		
4.2	Indicate whether the chair of the highest governance body is also an executive officer (and, if so, their function within the organization's management and the reasons for this arrangement).				The Chairman of the Supervisory Board has no other function in the company.
4.3	For organizations that have a unitary board structure, state the number of members of the highest governance body that are independent and/or no non-executive members.				The Supervisory Board has twelve members, half of whom work for German Group companies. They and the Deputy Chairman of the Supervisory Board are not independent.

GRI Standard Information	Global Compact			Status	Explanations
	Principle	Reference			
4.4	Mechanisms for shareholders and employees to provide recommendations or direction to the highest governance body.			■	The owner is a Supervisory Board member. The employees are represented by six members.
4.5	Linkage between compensation for members of the highest governance body, senior managers, and executives (including departure arrangements), and the organization's performance (including social and environmental performance).		AR, pp. 69–70	■	The management receives a variable compensation share depending on whether targets have been reached.
4.6	Processes in place for the highest governance body to ensure conflicts of interest are avoided.			■	Through the Compliance Management System.
4.7	Process for determining the qualifications and expertise of the members of the highest governance body for guiding the organization's strategy on economic, environmental, and social topics.			■	Through position descriptions when appointed.
4.8	Internally developed statements of mission or values, codes of conduct, and principles relevant to economic, environmental, and social performance and the status of their implementation.		SR, p. 12	■	ALTANA Guiding Principles, Code of Conduct
4.9	Procedures of the highest governance body for overseeing the organization's identification and management of economic, environmental, and social performance, including relevant risks and opportunities, and adherence or compliance with internationally agreed standards, codes of conduct, and principles.			■	Via performance indicators and targets in quarterly reports to the Executive Management; annual sustainability report, annual updating of risk management.
4.10	Processes for evaluating the highest governance body's own performance, particularly with respect to economic, environmental, and social performance.			■	See Report of the Supervisory Board.
4.11	Explanation of whether and how the precautionary approach or principle is addressed by the organization.		SR, pp. 11, 22	■	E. g. management in accordance with ISO 14001, registration of products based on REACH, nanomaterials not tested as powder or toxicologically; safety data sheets; support of Responsible Care.
4.12	Externally developed economic, environmental, and social charters, principles, or other initiatives to which the organization subscribes or endorses.		SR, pp. 13–14	■	Global Contact, Responsible Care, sustainability initiative Chemie ³ .








GRI Standard Information	Global Compact		Status	Explanations
	Principle	Reference		
4.13 Memberships in associations (such as industry associations) and/or national/international advocacy organizations in which the organization: – has positions in governance bodies; – participates in projects or committees; – provides substantive funding beyond routine membership dues; – views membership as strategic.		SR 2012, p. 14		Global Compact, VCI, Umbrella Organization of the 17 European Professional Associations for Coatings, Printing Inks, and Artists' Colors (CEPE), German Chamber of Industry and Commerce (IHK), German Association for Land Recycling and Remediation of Contaminated Waste (AAV) in North Rhine-Westphalia, German Association of Producers of Pigments, Fillers, Functional Additives, Food Colorants and Others (VdMi), German Association of Plastic Foil Manufacturers (IVK), German Association of Producers of Textile, Paper, Leather and Fur Auxiliaries and Colorants, Surfactants, Complexing Agents, Antimicrobial Agents, Polymeric Flocculants, Cosmetic Base Materials, Pharmaceutical Excipients, and Allied Products (TEGEWA).
4.14 List of stakeholder groups engaged by the organization.		SR, p. 14		Employees, neighbors, local political representatives, media, associations, investors, customers, suppliers, authorities, interest groups affected by our activities.
4.15 Basis for identification and selection of stakeholders with whom to engage.		SR, p. 14		On the basis of many years of experience and an identifiable need for communication.
4.16 Approaches to stakeholder engagement, including frequency of engagement by type and by stakeholder group.		SR, p. 14		Annual reports, sustainability reports, staff magazine, public policy positions, technical information documents, safety data sheets, open house days, press releases, project information, Internet (www.altana.com).
4.17 Key topics and concerns that have been raised through stakeholder engagement, and how the organization has responded to those key topics and concerns, including through its reporting.			C 	Materiality matrix: Plant safety, environmental protection, noise, traffic, climate protection, water consumption, emissions, support of volunteer projects, resource efficiency, innovative products, biodiversity
5. Management Approach and Performance Indicators				
Economic				
EC Management Approach		AR, pp. 35, 69		Budget planning, defining economic targets, fulfillment of the targets is part of the management's variable salaries, controlling, innovation, specialty products, market leadership, intensive customer care, acquisitions.
Aspect: Economic Performance				
EC1 Direct economic value generated and distributed, including revenues, operating costs, employee compensation, donations and other community investments, retained earnings, and payments to capital providers and governments.			C, AR	

GRI Standard Information	Global Compact		Reference	Status	Explanations
		Principle			
EC2	Financial implications and other risks and opportunities for the organization's activities due to climate change.	Environment: 7	SR, p. 10		Financial effects of climate change include rising energy prices due to the expansion of renewable energies, e.g. in Germany. Rising crude oil prices lead to further price increases for energy and raw materials. ALTANA has good opportunities to create values with existing and new products that in the supply chain contribute to reducing CO ₂ emissions. For cost reasons and due to the danger of imprecision, we refrain from quantification.
EC3	Coverage of the organization's defined benefit plan obligations.		AR, pp. 103, 118–121		
EC4	Significant financial assistance received from government.		AR, p. 93		
	Aspect: Market Presence				
EC5	Range of ratios of standard entry level wage compared to local minimum wage at significant locations of operation.	Human Rights: 1			As it is difficult to collect reliable data, we do not think the effort is justified.
EC6	Policy, practices, and proportion of spending on locally-based suppliers at significant locations of operation.				Particularly within the framework of maintenance and repair work, as well as investment projects, we make payments to local suppliers. We consider the effort needed for separate recording inappropriate.
EC7	Procedures for local hiring and proportion of senior management hired from the local community at locations of significant operation.	Labor: 6			ALTANA generally prefers to fill management positions with local personnel. This cannot always be done. We do not collect data on this.
	Aspect: Indirect Economic Impacts				
EC8	Development and impact of infrastructure investments and services provided primarily for public benefit through commercial, in-kind, or pro bono engagement.				Primarily from donations and with the support of the German Association for Land Recycling and Remediation of Contaminated Waste (AAV) in North Rhine-Westphalia.
EC9	Understanding and describing significant indirect economic impacts, including the extent of impacts.				Primarily from tax payments of the companies and their employees, as well as corresponding payments in social systems. Also by giving contracts to local and other companies. We consider a quantification to involve too much effort.
	Environmental				
EN	Management Approach				Specification of environmental performance indicators and targets by ALTANA. Control and consideration of variable salary components of the management. Specification that a certified environmental management system has to be operated. Support of companies through best-practice exchange. Inquiries about projects carried out.

GRI Standard Information		Global Compact Principle	Reference	Status	Explanations
Aspect: Materials					
EN1	Materials used by weight or volume.	Environment: 8	SR, p. 38, N	<input checked="" type="checkbox"/>	
EN2	Percentage of materials used that are recycled input materials.	Environment: 8, 9		<input type="checkbox"/>	To some extent, solvents are distilled and reused. The metals used by ECKART contain recycling content not known to us. Otherwise, recycled raw materials have no importance at ALTANA for quality reasons.
Aspect: Energy					
EN3	Direct energy consumption by primary energy source.	Environment: 8	SR, p. 39, N	<input checked="" type="checkbox"/>	
EN4	Indirect energy consumption by primary source.	Environment: 8	SR, p. 39, N	<input checked="" type="checkbox"/>	
EN5	Energy saved due to conservation and efficiency improvements.	Environment: 8, 9	SR, pp. 40–41, N	<input checked="" type="checkbox"/>	Identifiable from the CO ₂ emissions related to the gross value added since 2007.
EN6	Initiatives to provide energy-efficient or renewable energy based products and services, and reductions in energy requirements as a result of these initiatives.	Environment: 8, 9	SR, p. 20	<input checked="" type="checkbox"/>	ALTANA develops various products each year that contribute to reducing greenhouse gas emissions in the supply chain.
EN7	Initiatives to reduce indirect energy consumption and reductions achieved.	Environment: 8, 9	SR, p. 40, N	<input checked="" type="checkbox"/>	Various projects to reduce electricity consumption. Implementation of energy management systems at some locations.
Aspect: Water					
EN8	Total water withdrawal by source.	Environment: 8	SR, p. 39, N, Performance Indicators	<input checked="" type="checkbox"/>	
EN9	Water sources significantly affected by withdrawal of water.	Environment: 8			At our Gonzales site in Texas there could be a significant effect on the source. As a rule, withdrawal of groundwater or surface water is subject to approval.
EN10	Percentage and total volume of water recycled and reused.	Environment: 8, 9		<input type="checkbox"/>	At many locations, cooling water circulates in the cycle via cooling towers and so is used widely. Amounts/frequency are not measured.
Aspect: Biodiversity					
EN11	Location and size of land owned, leased, managed in, or adjacent to, protected areas and areas of high biodiversity value outside protected areas.	Environment: 8	SR, p. 39, N	<input checked="" type="checkbox"/>	BYK has a mine for clay extraction in a nature park in Andalusia/Spain.
EN12	Description of significant impacts of activities, products, and services on biodiversity in protected areas and areas of high biodiversity value outside protected areas.			<input type="checkbox"/>	When a mine is operated (opencast mining) for BYK, the plants growing there have to be removed. As a result, they no longer offer habitats for the animals there. But the mining is done in such a small area that the existing biodiversity is not affected completely, but only in small part. Renaturation is usually not problematic.
EN13	Habitats protected or restored.	Environment: 8		<input type="checkbox"/>	Mines from which clay is extracted for BYK are filled in and renatured, or renatured as ponds, after extraction.





GRI Standard Information	Global Compact		Reference	Status	Explanations
	Principle				
EN14 Strategies, current actions, and future plans for managing impacts on biodiversity.	Environment: 8				See also SR 2010, pp. 45–46 and SR 2012, p. 45.
EN15 Number of IUCN Red List species and national conservation list species with habitats in areas affected by operations, by level of extinction risk.	Environment: 8				This may be the case in Andalusia (mine). Detailed information is currently not available to us.
Aspect: Emissions, Effluents and Waste					
EN16 Total direct and indirect greenhouse gas emissions by weight.	Environment: 8		SR, pp. 39–40, N		CO ₂ emissions, graphics.
EN17 Other relevant indirect greenhouse gas emissions by weight.	Environment: 8				ALTANA estimates that the volume of such emissions is relatively low compared to “EN 16.”
EN18 Initiatives to reduce greenhouse gas emissions and reductions achieved.	Environment: 7, 8, 9		SR, pp. 16–22, 36–42		
EN19 Emissions of ozone-depleting substances by weight.	Environment: 8		SR, p. 39, N		ALTANA does not use any raw materials assessed as ozone-depleting.
EN20 NO, SO, and other significant air emissions by type and weight.	Environment: 8				NO _x and SO ₂ are calculated from the combustion of natural gas and crude oil. We do not consider the values relevant enough to report. Reduction of CO ₂ emissions via energy efficiency also leads to a reduction of these values.
EN21 Total water discharge by quality and destination.	Environment: 8		SR, p. 39, N		
EN22 Total weight of waste by type and disposal method.	Environment: 8		SR, pp. 39–40, N		
EN23 Total number and volume of significant spills.	Environment: 8		SR, p. 30		
EN24 Weight of transported, imported, exported or treated waste deemed hazardous under the terms of the Basel Convention Annex I, II, III, and VIII, and percentage of transported waste shipped internationally.	Environment: 8				We have no data on this. To our knowledge, no ALTANA companies import or export waste. But we do not request figures.
EN25 Identity, size, protected status, and biodiversity value of water bodies and related habitats significantly affected by the reporting organization's discharges of water and runoff.	Environment: 8				We are not aware of wastewater being fed into bodies of water with high biodiversity. As we see no significant environmental effects of our companies (generally only indirect dischargers), we do not collect any data on this.
Aspect: Products and Services					
EN26 Initiatives to mitigate environmental impacts of products and services, and extent of impact mitigation.	Environment: 7, 8, 9		SR, pp. 20–22		ALTANA products that lead to reduced VOC emissions, or products that contribute to the manufacture of coatings with reduced VOC emissions.
EN27 Percentage of products sold and their packaging materials that are reclaimed, by category.	Environment: 8, 9				ALTANA products (coatings or components of coatings) cannot be reused based on today's level of technology. Some of the products are shipped in reusable containers and tankers. Exact data are not collected.

GRI Standard Information		Global Compact Principle	Reference	Status	Explanations
Aspect: Compliance					
EN28	Monetary value of significant fines and total number of non-monetary sanctions for non-compliance with environmental laws and regulations.	Environment: 8	SR, p. 61, N		
Aspect: Transport					
EN29	Significant environmental impacts of transporting products and other goods and materials used for the organization's operations, and transporting members of the workforce.	Environment: 8	SR, p. 40, N		In comparison to the environmental effects of our product manufacture, we do not consider this effect to be significant. We publish the volumes of the finished goods we transport per carrier. Building production capacities in proximity to customers reduces finished goods transports.
Aspect: Overall					
EN30	Total environmental protection expenditures and investments by type.	Environment: 7, 8, 9			ALTANA does not record such a figure, because it is normally difficult to separate it from other investment purposes.
Labor Practices and Decent Work					
LA	Management Approach				Control is carried out via performance indicators and possibly targets or guidelines. Different training measures are recorded centrally by ALTANA HR.
Aspect: Employment					
LA1	Total workforce by employment type, employment contract, and region.		AR		Some information on this can be found in the annual report. We do not consider detailed recording of performance indicators to be appropriate.
LA2	Total number and rate of employee turnover by age group, gender, and region.	Labor: 6			We consider the effort needed to determine the performance indicator centrally to be inappropriately high. We determine employee satisfaction by conducting an employee survey every three years. We consider this to provide meaningful information.
LA3	Benefits provided to full-time employees that are not provided to temporary or part-time employees, by major operations.				We consider the effort needed to determine the key figure to be inappropriately high.
Aspect: Labor/Management Relations					
LA4	Percentage of employees covered by collective bargaining agreements.	Human Rights: 1 Labor: 3			We consider the effort needed to determine the key figure to be inappropriately high.
LA5	Minimum notice period(s) regarding significant operational changes, including whether it is specified in collective agreements.	Labor: 3			It is ALTANA's policy to inform employees about significant operational changes in due time. We do not consider a blanket statement appropriate.
Aspect: Occupational Health and Safety					
LA6	Percentage of total workforce represented in formal joint management-worker health and safety committees that help monitor and advise on occupational health and safety programs.	Human Rights: 1			At most ALTANA locations, there are committees that deal with occupational safety and health protection. We do not consider recording a figure to lead to any significant improvement potential.
LA7	Rates of injury, occupational diseases, lost days, and absenteeism, and number of work-related fatalities by region.	Human Rights: 1	SR, pp. 28–29, N		Work Accident Indicators 1–3



GRI Standard Information	Global Compact		Reference	Status	Explanations
		Principle			
LA8	Education, training, counseling, prevention, and risk-control programs in place to assist workforce members, their families, or community members regarding serious diseases.	Human Rights: 1	SR, p. 31, N		In many ALTANA companies, there are health-protection activities. The two locations with the most employees have internal health management systems.
LA9	Health and safety topics covered in formal agreements with trade unions. Aspect: Training and Education	Human Rights: 1			We do not consider this indicator decisive for good health management.
LA10	Average hours of training per year per employee by employee category.				ALTANA generally promotes further training to a large extent, particularly based on individual needs. We consider an hourly figure per employee to be too general as a statement.
LA11	Programs for skills management and life-long learning that support the continued employability of employees and assist them in managing career endings.		SR, pp. 48–49		Further training is promoted very strongly at ALTANA. The basis is the annual compass dialog and a very extensive further training catalog. Within the framework of the compass dialog, further training is planned annually. The results of the training are evaluated the following year.
LA12	Percentage of employees receiving regular performance and career development reviews. Aspect: Diversity and Equal Opportunity				ALTANA has set itself the goal of holding a performance and development dialog once a year. The human resources departments hold this dialog subsequently. The results of the dialog are documented.
LA13	Composition of governance bodies and breakdown of employees per category according to gender, age group, minority group membership, and other indicators of diversity.	Human Rights: 1 Labor: 6	SR, pp. 49–50, N		Ratio of women in the Supervisory Board: 25 %. Ratio of women in the Executive Management: 0 %. The Executive Management decided to introduce the ratio of women worldwide as a performance indicator. There are also objectives for the divisions and values at least for the EU (2012). These figures are available for Germany. There are also targets. Efforts are currently being carried out to collect these figures worldwide.
LA14	Ratio of basic salary of men to women by employee category.	Human Rights: 1 Labor: 6			ALTANA's HR departments generally pay attention to gender-independent payment. But since payment depends on many different factors, we do not consider a comparable performance indicator to provide meaningful information.

		Global Compact			
	GRI Standard Information	Principle	Reference	Status	Explanations
Human Rights					
HR	Management Approach				<p>Due to clear internal guidelines and regular visits by different functions to our companies, we see little risk of human rights violations within ALTANA. We provide regular training on the topic of discrimination. ALTANA's HR department requests that any cases of discrimination be reported each year.</p> <p>In our assessment, we see the most risks in our supply chain. Here we work via information (suppliers' code of conduct, Global Compact support), as well as visits to companies. Based on a risk evaluation, further steps are planned for the next few years. For further management measures, see Society Performance Indicators.</p>
Aspect: Investment and Procurement Practices					
HR1	Percentage and total number of significant investment agreements that include human rights clauses or that have undergone human rights screening.	Human Rights: 1, 2 Labor: 3, 4, 5, 6		<input type="checkbox"/>	ALTANA does not issue any corresponding corporate guidelines at present, as they are very hard to monitor worldwide.
HR2	Percentage of significant suppliers and contractors that have undergone screening on human rights and actions taken.	Human Rights: 1, 2 Labor: 3, 4, 5, 6		<input type="checkbox"/>	At present, ALTANA is in a phase of risk evaluation. During visits to suppliers, we also evaluate human rights aspects.
HR3	Total hours of employee training on policies and procedures concerning aspects of human rights that are relevant to operations, including the percentage of employees trained.	Human Rights: 1, 2 Labor: 3, 4, 5, 6		<input type="checkbox"/>	We do not consider the effort needed to determine the data required in relation to the effect to be appropriate.
Aspect: Non-Discrimination					
HR4	Total number of incidents of discrimination and actions taken.	Human Rights: 1, 2 Labor: 6		<input type="checkbox"/>	ALTANA trains its employees to help combat discrimination and inquires about occurrences on an annual basis. But we do not consider the number to be very meaningful.
Aspect: Freedom of Association and Collective Bargaining					
HR5	Operations identified in which the right to exercise freedom of association and collective bargaining may be at significant risk, and actions taken to support these rights.	Human Rights: 1, 2 Labor: 3		<input type="checkbox"/>	Currently, risks relating to suppliers are being evaluated.

GRI Standard Information	Global Compact		Reference	Status	Explanations
	Principle				
Aspect: Child Labor					
HR6	Operations identified as having significant risk for incidents of child labor, and measures taken to contribute to the elimination of child labor.	Human Rights: 1, 2 Labor: 5	SR, p. 57	<input type="checkbox"/>	Currently, risks relating to suppliers are being evaluated. ALTANA supports a few educational projects in countries regarded as critical in this respect.
Aspect: Forced and Compulsory Labor					
HR7	Operations identified as having significant risk for incidents of forced or compulsory labor, and measures to contribute to the elimination of forced or compulsory labor.	Human Rights: 1, 2 Labor: 4		<input type="checkbox"/>	We consider the risk stemming from ALTANA's activities to be insignificant at present.
Aspect: Security Practices					
HR8	Percentage of security personnel trained in the organization's policies or procedures concerning aspects of human rights that are relevant to operations.	Human Rights: 1, 2		<input type="checkbox"/>	ALTANA only uses janitors and locksmith services.
Aspect: Indigenous Rights					
HR9	Total number of incidents of violations involving rights of indigenous people and actions taken.	Human Rights: 1, 2		<input type="checkbox"/>	Due to ALTANA's activities, we assess the risk as being low.
Society					
SO	Management Approach				ALTANA has established a central Compliance Management Committee. With participants from different areas of responsibility, topics such as corruption, competition law, human rights, and discrimination are covered. The committee writes an annual progress report, which is given to the Supervisory Board. The management system is geared to the specifications of IDW audit standard 980 "Principles of Proper Inspection of Compliance Management Systems."
Aspect: Community					
SO1	Nature, scope, and effectiveness of any programs and practices that assess and manage the impacts of operations on communities, including entering, operating, and exiting.			<input type="checkbox"/>	Overall, ALTANA expects its business activities to have a positive effect on the local community (jobs, taxes, social security contributions, commissioning of third parties, donations, environmental protection). We consider a quantification to involve an inappropriate amount of effort. Further information in the annual report and the sustainability report.
Aspect: Corruption					
SO2	Percentage and total number of business units analyzed for risks related to corruption.	Anti-Corruption: 10	SR, p. 12, N	<input checked="" type="checkbox"/>	Nineteen internal audits were carried out in 2014. They also covered the aspect of corruption.
SO3	Percentage of employees trained in organization's anti-corruption policies and procedures.	Anti-Corruption: 10	SR, p. 12, N	<input checked="" type="checkbox"/>	New employees are trained. In particular, the e-learning tool was translated into Italian, and 270 Italian colleagues were trained in depth in 2014. There was a special e-learning program for 300 managers.
SO4	Actions taken in response to incidents of corruption.	Anti-Corruption: 10		<input type="checkbox"/>	Measures were carried out. We do not want to report on them for reasons of confidentiality.

		Global Compact			
	GRI Standard Information	Principle	Reference	Status	Explanations
	Aspect: Public Policy				
SO5	Public policy positions and participation in public policy development and lobbying.	Human Rights: 1, 2 Labor: 3, 4, 5, 6 Environment: 7, 8, 9 Anti-Corruption: 10	SR, pp. 21–22		Positions on REACH, Globally Harmonized System (GHS), Global Product Strategy (GPS), nanotechnology, biotechnology, fracking.
SO6	Total value of financial and in-kind contributions to political parties, politicians, and related institutions by country.	Anti-Corruption: 10			ALTANA considers donated contributions insignificant.
	Aspect: Anti-Competitive Behavior				
SO7	Total number of legal actions for anti-competitive behavior, anti-trust, and monopoly practices and their outcomes.				ALTANA has no knowledge of such incidents and does not believe there are any significant cases of misbehavior.
	Aspect: Compliance				
SO8	Monetary value of significant fines and total number of non-monetary sanctions for non-compliance with laws and regulations.		SR, p. 60		Is requested every year. No fines or non-monetary sanctions in 2014.
	Product Responsibility				
PR	Management Approach				Product responsibility is a central element for the chemical industry. Dangerous properties of substances and mixtures, as well as risk management measures, are communicated to customers via safety data sheets. Every ALTANA company has a suitable organization for this. The basic data are collected within the framework of registration of substances, e.g. in accordance with REACH. These include physical-chemical properties as well as toxicological and eco-toxicological properties. Risk management measures are derived from this. In so far as possible in light of reasons of confidentiality, we make the data publicly available on the Internet (Global Product Strategy of the ICCA).

GRI Standard Information	Global Compact		Reference	Status	Explanations
		Principle			
Aspect: Customer Health and Safety					
PR1	Life cycle stages in which health and safety impacts of products and services are assessed for improvement, and percentage of significant products and services categories subject to such procedures.	Human Rights: 1		<input type="checkbox"/>	For ALTANA products (substances and mixtures of several substances), safety data sheets are generated before the products are marketed based on physical-chemical, toxicological, and eco-toxicological data. These contain classifications and risk management measures. We receive the data from our suppliers or ascertain them ourselves with substances we manufacture ourselves. The usable amount of data is increasing due to the registration under REACH. The safety data sheets are given to the customers in the national language. Determining a performance indicator from them is not a measure that leads to improvements.
PR2	Total number of incidents of non-compliance with regulations and voluntary codes concerning health and safety impacts of products and services during their life cycle, by type of outcomes.	Human Rights: 1		<input type="checkbox"/>	ALTANA is not aware of such incidents. But they are not systematically inquired about.
Aspect: Product and Service Labeling					
PR3	Type of product and service information required by procedures, and percentage of significant products and services subject to such information requirements.	Environment: 8		<input checked="" type="checkbox"/>	For substances classified as being hazardous, safety data sheets are to be generated and passed on to customers. ALTANA fulfills this duty. A quantification would not lead to an improvement.
PR4	Total number of incidents of non-compliance with regulations and voluntary codes concerning product and service information and labeling, by type of outcomes.	Environment: 8		<input type="checkbox"/>	ALTANA is not aware of such incidents. But they are not systematically inquired about.
PR5	Practices related to customer satisfaction, including results of surveys measuring customer satisfaction.			<input checked="" type="checkbox"/>	ALTANA's products need to be explained. Therefore, our field service maintains good contact with customers. As a result, we also have good information about customer satisfaction. There may also be surveys.
Aspect: Marketing Communications					
PR6	Programs for adherence to laws, standards, and voluntary codes related to marketing communications, including advertising, promotion, and sponsorship.			<input checked="" type="checkbox"/>	ALTANA's Compliance Management System covers some of these aspects.
PR7	Total number of incidents of non-compliance with regulations and voluntary codes concerning marketing communications, including advertising, promotion, and sponsorship by type of outcomes.			<input type="checkbox"/>	ALTANA is not aware of such incidents. But they are not systematically inquired about.

		Global Compact			
	GRI Standard Information	Principle	Reference	Status	Explanations
	Aspect: Customer Privacy				
PR8	Total number of substantiated complaints regarding breaches of customer privacy and losses of customer data.	Human Rights: 1			ALTANA is not aware of such incidents. But they are not systematically inquired about. When desired, we conclude secrecy agreements with customers.
	Aspect: Compliance				
PR9	Monetary value of significant fines for non-compliance with laws and regulations concerning the provision and use of products and services.		SR, p. 61, N		ALTANA obligatorily requests this value from the companies once a year.

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