1.0 Purpose

Dorf Ketal, a global leader in development, commercialization, marketing and application of specialty engineered chemistries for refining & petrochemical industries, has demonstrated product and service excellence in the largest refineries and petrochemical plants in the world.

Dorf Ketal understands that each of its Customer must succeed by maintaining business continuity & sustainability, as only then the respective economies would grow and promote each stakeholder involved in these businesses.

In this context, Dorf Ketal has established plan to ensure its Business Continuity by defining controls for a systematic slowdown and or close of operations during an undesired event and recovery of its operations & business by:

a. Identify events having potential to disrupt Dorf Ketal's Operations and business continuity.
b. Conduct risks and impact assessment of the identified events and establish a recovery plan
c. Determine and implement controls to support proper management of business during any disruptions.

The plan not only identifies risks and recovery actions but also aims to achieve additional purposes, viz:

A. From a Business perspective

1. Create a support for its strategic objectives
2. Protect & enhance its reputation and credibility

B. From a financial perspective

1. Reduce legal and financial exposure
2. Reduce direct and indirect cost of disruptions

C. From the perspective of interested parties

1. Protect life, property and the environment
2. Consider the expectation of interested parties

D. From an internal process perspective:

1. Improve its capability to remain effective during disruptions
2. Demonstrate proactive and effective control over risks & impacts

2.0 Scope:

In context to our Principles viz: "Assessment of Risk & Controls" "Supply Chain Reliability", "Protect Organizational Knowledge, communication, ERP", and "Safety of Employees", the Scope includes continuity planning for businesses and operations, Technology, planning, commercial and Supply chain operations and other support functions. The scope includes manufacturing locations of Dorf Ketal and the Products manufactured and supplied from these facilities to the Domestics and International Industries.

The plan will be activated in the occurrence of an undesired event at any of our Manufacturing and or Business office locations that may affect or may have potential to cause slow down / temporary closure of normal operations.

3.0 Responsibilities and Accountability of Key functions and functional Heads.

Dorf Ketal has identified its key functions and leadership having decision making authorities to implement the elements defined in this plan, its execution and monitoring the effectiveness of this plan. The responsibilities define the leadership role during any undesired event disrupting the business, implement measures for time bound recovery. These functions and leadership defined in the business continuity plan are:

At Corporate Level, the functional leadership is:

- Global Manufacturing
- Supply Chain Management
- Health, Safety and Environment
- Human Resource and Administration
- Information Technology
- Systems and Business Excellence

From Manufacturing Facilities the functions and functional Heads are:

- Unit Head
- HOD Human Resource and Administration
- HOD Production
- HOD Engineering
- HOD Warehousing (Stores & Dispatch)
- HOD Health Safety & Environment

4.0 Definitions

The business continuity plan provides definitions on terminologies used in the plan such as

- Un-Desired Event
- Business Continuity
- Business Continuity Plan
- Business Impact Analysis
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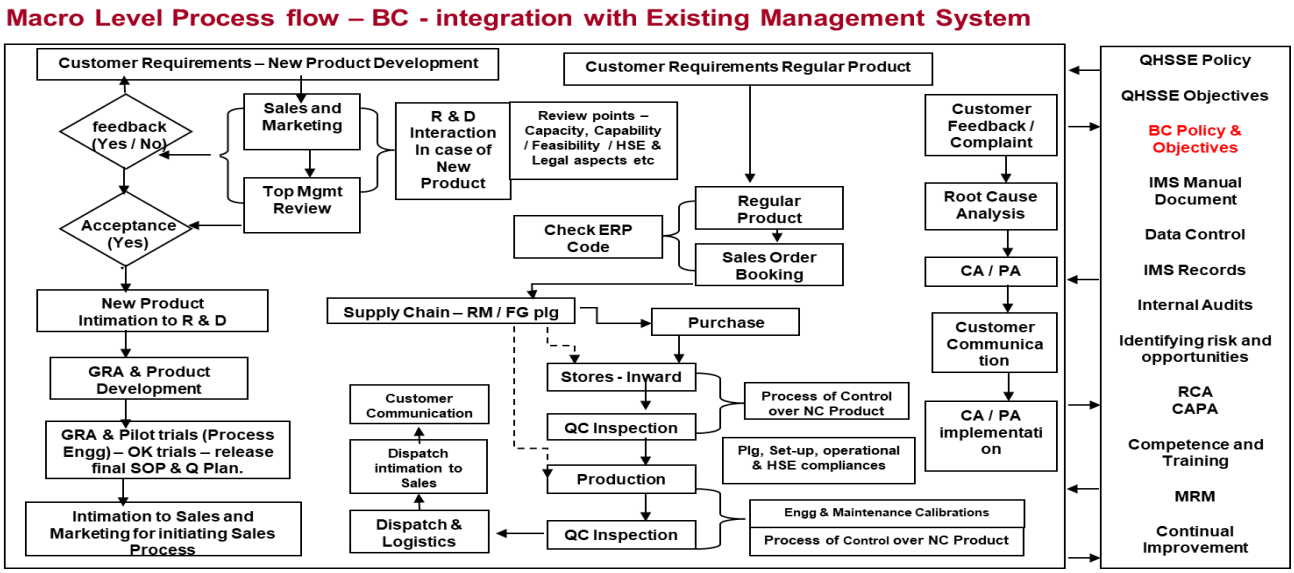
5.0 Policy: Dorf Ketal has established its Policy for business continuity that demonstrates its commitment towards business continuity & sustainability that supports growth of each stakeholder of Dorf Ketal. The policy undertakes to establish system for Business Continuity in Emergency Situations by determining the risks and impacts on its business & thereby define systems for emergency control and efficient recovery to maintain business continuity.

The policy provides framework to establish objectives that shall enhance the effectiveness of its business continuity plan and its continual improvement. The policy shall also be reviewed periodically for its suitability and effectiveness and communicated to all persons working for or on behalf of Dorf Ketal and will be made available to its interested parties.

5.1 Objective of Business Continuity Plan: To provide Safety at Work and Business Assurance to its Employees and Customers, high level objectives are identified to help achieve business continuity. Few of these objectives are:

- Ensure safety of employees, neighboring community and to satisfy company obligations towards them.
- Ensure business obligations to customers, business associates, government authorities and community throughout the undesired event and during the recovery processes.
- Ensure protection of plant, machinery and finished goods, raw materials, packing materials.
- Minimize impacts arising out of undesired events to the company by establishing set of controls and procedures and roles and responsibilities to manage the control actions during the event and during resumption activity.
- Establish systems for proper and effective resumption of business operations and support functions for business continuity and related revenue stability and planned growth.

5.2 Macro Level Process Flow - BC integration with Existing Management System



5.3 Business Continuity Management – Plan

Risk Assessment and Business Impact Analysis	Emergency Preparedness & Support function Strategies	Recovery strategy	Awareness and Continual Improvement
• Risk Identification and business impact analysis • Critical operations, functions & control measures. • Define Preventive Plan (Stocking / Contract manufacturing) • Document Responsibilities • Documenting required resources for facilitating these responsibilities.	• Organize recovery team • Prepare Emergency Response Plan • Document I.T. disaster recovery plan • Business Excellence, building healthy systems & competencies for sustenance	• Alternate manufacturing sites within company (for products with similar chemistry only) • Toll/Contract manufacturing, establish work orders / service level agreements. • Outside warehouse contract • Supplier communication, ensure RM / PM supply continuity • Listing critical Service provider (clearing agent, forwarder, transporter etc. • Customer Communication, Support, revenue process.	• Communication • Awareness training and education • Maintenance & Continuous Improvement of BCP and related documents/ manuals

5.4 Risk Assessment and Business Impact Analysis

Dorf Ketal has established system of risk assessment & impact analysis through tools such as, HAZOP, & Group Risk Assessment. Controls determined are tabulated & built in Process & Manufacturing; actions plans are achieved prior to start up. As per risk assessed & Emergency Response Plan, following are probable emergencies:

Industry specific	Natural Calamity	Human Interventions	Fin/Business Risks
•Fire, •Explosion, •Toxic gas release, •Spillage of hazardous chemicals •Emergencies from Surrounding Industries •Legal issues/non compliances •Environmental norms constraints •Catastrophic failure of key equipment (e.g. boiler, DG, ETP) •Catastrophic failure of services (e.g. water, power)	•Earthquake, •storm/cyclone •Lightning strike. •Flood or Tsunami	•State/Nation wide Strike including transport services (Unions / Political parties)	•Financial Risks arising out of Economic Slowdown / Recession •Pandemic / Epidemic

A table on each Emergency, its mitigation & Recovery is detailed seperately in the complete Business continuity plan.

5.4.1 The disruption duration categorization is:

- Short term: upto 2 weeks or less disruption in normal operation of company or site.
- Medium term: 2 to 8 weeks disruption in normal operation of company or site.
- Long term: more than 8 weeks disruption in normal operation of company or site.

5.4.2 Reporting of Emergencies

A system for Incident Management is establsihed at all manufacturing sites. The reporting format used under this system will be used to report emergency situations arising out of any of the scenarios in the above table.

5.6 Manufacturing, Warehouse & Business Locations

5.7 Manufacturing – Preventive and Recovery

All facilities have established, Health, Safety & Environment systems appropriate to the nature of operations. Manufacturing processes are through PLC and DCS, Process Safety is built by use of Instrumentation and interlocks. Closed systems are installed to prevent emissions and impacts on human and Environment & vice versa.

Fire, Smoke detection and Alarms are installed and backed by appropriate fire fighting systems.
We ensure compliances to legal obligations & also maintain Labour relations to avoid operational disruptions.
Strategic investments are made in manufacturing & operations so that Business is managed during Emergencies.

Recovery:

The plant & machinery of each Dorf Ketal unit is unique to products manufactured at each site. Hence interchangeability is a challenge and may take few modifications before actually using a reaction vessel. However, proper stocks of Finished product & intermediates are maintained.

In event of failure impacts of 2 weeks & or more, options of contracting with toll manufacturers will be explored to manage deliveries. Support of toller and or service providers shall be availed in appropriate emergency situations and as per decision made by the defined senior leadership.

5.8 Recovery Strategy: Purchasing, Suppliers, Service Providers - Diversified material procurement

- One of the planned actions is to diversify raw materials (where possible), used in some of our products & its availability through various suppliers, wherein product performance & properties are not impacted. This is done to reduce dependency on regular RM & Suppliers & maintain stable supply during Emergency Situations.
- Pool of Suppliers: Procurement Strategy includes shift from having monopolistic supplier to development of new suppliers. The suppliers come from different geographical regions, hence in event of issues in one region, supplies can be continued through suppliers from other region.
- Service Providers: Dorf Ketal has contracts with established & reliable Service providers in critical services such Logistics, Forwarding & Transportation, they have been with us for over 1 or 2 decades.
- When selecting a supplier, their ability to provide a quality product & to maintain stable supply is considered. Maturity of their managing and operating systems, controls and monitors, sustainability, safety arrangements for supply continuity and dependency on others etc is considered.

5.9 Recovery Strategy – Strategic Product & RM Inventories and Safety Stocks and Finished Product Stocks

- For key raw materials that constitute the top 15 / 20 products, stock levels are defined based on lead times, availability of alternate RMs, Suppliers. Based on consumption, forecasting and projections, raw material and packing material inventories are defined & quantified in terms of Inventory held in Number of Days.
- The safety stocks and Number of days inventory is monitored in the monthly Sales and Operations Meeting. Based on demand supply dynamics, the strategies are tuned up. During the month, the Sales / Business heads also monitor the business trends through MIS generated from Spago BI
- Considering spread of manufacturing units in India & overseas; we get a strategic advantage of alternate units for manufacturing and maintain supply continuity to our customers during unexpected circumstances.

5.10 Recovery Strategy – Communication (Order to Cash)

A Customer Focus and Customer Communication

One of the important element of BCP is communication. Dorf Ketal believes in Customer Focus and has established proper channels and practices to ensure prompt customer communication during disruptions. The communication is established by Regional Sales Managers with customers to apprise them about the situation and to understand their product and service requirements during this period. The needs / expectations are communicated to Supply Chain team. The Supply Chain team prepares distribution plans accordingly and the same are commmunicated by Regional Sales team to respective customers.

B Communication with Suppliers

Dorf Ketal maintains regular contact with suppliers to monitor their capability to deliver goods and services. The team is categorized as Buyer and purchasers. It is the responsibility of Buyers to maintain communication with the suppliers. This work includes, communication of requirements, pricing, development of suppliers, buying / market intelligence and trend analysis, forecasting based on demand supply dynamics and determining contracts / stock built up strategy etc.

C. Communication with Government and regulators:

- Dorf ketal has established plans and defined responsibilities & accountabilities for legal compliances at its manufacturing and corporate locations and timely communication of the same to regulating authorities.
- Dorf Ketal in all its strategies and decision making gives importance to legal compliances. As needed, legal consultants are engaged to guide the leadership team & to carry out Due Diligence. HR and HSE functions also carry out checks for compliances and fulfilment of obligation.

5.11 HSSE Planning, Systems and Principles on Health, Safety, Security and Environment (HSSE)

Dorf Ketal sustainability principles drive continuous QHSSE performance improvement in all business processes.
To maintain a sustainable platform & continual improvement, Dorf Ketal believes in 3rd Party Certifications for its systems established in Operations & Businesses. Certifications are:

- ISO 9001:2015, ISO 14001:2015, ISO 45001:2018, Responsible Care (RC) signatory and logo holding (from Yr 2014)
- Participation in Industrial Platforms for Awards under various Private and Government platforms is encouraged.
- We carry out Internal Safety Audits, & 3rd Party Safety Audits to continually update Systems & Train Employees.

5.12 On Site Emergency Preparedness - Emergency Preparedness & Disaster Management Plans

The On Site Emergency Plan (OSEP) is established to provide knowledge of critical information and training to prevent and minimize the losses of materials, products, property, equipment and personnel likely to arise due to emergencies, which may occur in the organization due to unforeseen reasons.
This plan provides information required at the time of emergencies, roles and responsibilities of Emergency Response Team and other personnel and agencies to control the emergencies.

5.13 Emergency Preparedness – Resources and Systems - Emergency Preparedness & Disaster Management Plans

With the objective of building a Safe Plant Design, Structure and in case of emergencies to provide prompt actions to communicate, Evacuate, Safe Shut down, Limit the outcomes and damages etc; detailed planning of key personnel & required resources is documented in the plan & facilitated at each of our Sites, significant points are listed below:

- Geographic location of site/ office
- All types of the determined probable emergency. It also covers onsite, offsite & transport emergencies.
- Maximum credible loss scenario study is conducted for critical processes / chemicals & its outcome
- Emergency handling organization: well defined structure with clearly defined roles, responsibilities and authorities of Incident controller Communication team, Advisory team and Emergency response team (ERT)
- Two Emergency Control Centres (ECC), OHCs & ambulance vehicle manned 24x7
- Key Personnel, Communication channels, Siren, PA, walkie talkie, MCP points, exit and evacuation plans
- Effects on surrounding / neighbouring due to an emergency
- Action plan and operating procedures during and after emergency (covering all probable emergency situations)
- Regular checks the preparedness by various tools (Inspection, Audits & Mock drills- different scenarios)

5.14 Process Safety: Emphasis is on Determining what can go wrong & establishing Controls to Prevent & or to minimize the un-desired outcomes. With this consideration, process safety is built as below

- Cross functional team trained on DKC standards, procedures & guidelines leads implementation of PSM elements
- PHA is conducted by CFT using appropriate tools & techniques such as : Risk Assessment, HAZOP, FMEA, Job Safety Analysis. Help of external experts is taken as and when needed.
- Procedure for Management of Change is in place. Change evaluation process includes HSE assessment
- DCS /PLC for process controls with global & process safety interlocks provided.
- Hazardous area classification is done, accordingly areas where flammable materials are handled, the electrical fittings & equipment are flameproof (Ex proof).

5.15 Information Technology – I.T. Security

Security is one of the biggest challenges faced today by Enterprises Globally. We have invested heavily on the state-of-the-art technologies on 4 major areas

- End User Protection
- Messaging Gateway
- Perimeter Security
- Data Center Security.

In Dorf Ketal,

- The Global IT operations are run centrally from India.
- The global support center has been put in place for user support.
- The team works in shifts to support users.

Support currently begins with APAC Team & ends with US Team, which covers all the 24 hours in a day.

5.16 Business Excellence: Improve, Control, Prevent, Sustain

The Business Excellence competency is established to support various functions to tackle their challenges by developing and applying best and most relevant strategies to improve functional Effectiveness and Efficiency.

On organization level, various structured approach is being followed to:

- Improving delivery while reducing Supply Lead times from order receiving to manufacturing to shipments.
- Ramping up capacity of key products by eliminating bottlenecks and/or making changes in facilities.

5.17 Audits and Validating the BCP

- It is essential to audit Business Continuity Plan at regular intervals, this will help is identifying gaps if any, revising BCP in context to change in Risks at Site, Change in Business scenarios, etc.
- To facilitate this objective, BCP audit will be conducted through a cross functional audit team, with members from Internal Audit team, Finance, Supply Chain, Manufacturing, HSE & Business Excellence.
- The audit will include, readiness of the suppliers and service providers and their awareness on the requirements.

6.0 References

Site Wise Emergency Prepardeness Plan
Contracts with Toll Manufacturers
Inventory and Safety Stock Reports

Amendment History: Rev 00 dated 2/5/2024, Rev 01 dt 26/6/2024 - Change in 5.15 – IT Disaster Recovery, reference to discontinued service is removed.

Reviewed By	Approved By	Issued By
CM – 1	CM – 2	Management Representative