Sartorius Group

GRI Report 2021

SARTORIUS

Simplifying Progress

Content

Responsibility at Sartorius

Sartorius is an internationally leading partner to the biopharmaceutical industry. With our technologies, we help researchers and engineers achieve faster, easier progress in the life sciences and bioprocess technology, thus enabling the development of new and better treatments and vaccines and affordable medical care.

Many people in industrialized countries suffer from diseases for which there is as yet no effective treatment. These include cancer, dementia and autoimmune diseases as well as congenital metabolic disorders and infectious diseases. At the same time, many diseases that would have proved fatal just a few generations ago can now be cured or treated effectively. Combined with declining birth rates, this has led to an aging society in industrialized countries where people are expected to remain fit and healthy for as long as possible.

In developing and emerging countries, the availability and affordability of healthcare is well below the standards in industrialized nations: more than half the world's population has either no or inadequate access to medical care. For every second child, initial immunization is an unachievable goal, and it is estimated that 1.5 million children under the age of five die from diseases from which they could be protected with vaccinations.

The purpose of our business is to help our customers develop and manufacture biotechnology-based drugs and vaccines and, in doing so, enable the development and safe production of vaccines and biopharmaceutical medicines to treat serious and, in some cases, rare diseases. The United Nations' sustainability goal 'Good Health and Well-Being' is thus an integral part of our core business.

As a company with a tradition spanning 150 years, sustainability is firmly embedded at many levels in our business. To us, it means operating responsibly over the long term – with respect to customers, employees, investors, business partners and society as a whole. Likewise, it entails handling natural resources responsibly. Sustainable action also means remaining agile and constantly asking ourselves how we can respond to the changing world and make a positive contribution. This concerns the continued development of our business activities just as much as living up to our corporate responsibilities.

As in the previous year, 2021 was once again dominated by the coronavirus pandemic. The pandemic is a challenge facing society as a whole; at the same time, it highlights how Sartorius directly contributes to the goal of "healthy lives and well-being for all at all ages:" with its products and process knowledge, Sartorius is involved in many of the worldwide vaccine projects to combat coronavirus.

Optimization of processes and methods throughout the entire value chain can also make a contribution towards sustainability – this mainly includes the consideration of sustainability in procurement, product development and production. Our product portfolio includes consumables such as filters, pipette tips, cell culture media and bags. These sterile products for use in biopharmaceutical research and development have significant benefits compared to reusable products. Nevertheless, we see potential to reduce our use of natural resources in this area.

In addition, we do believe it is important that we play our part in helping to reduce global warming. In the future, we aim to continue growing strongly while substantially lowering our carbon footprint. To this end, we once again compiled a detailed breakdown of our carbon footprint and refined our targets in the year under review. In our opinion, it is appropriate to focus on CO_2 emission intensity, as this indicator enables a comparison of the CO_2 emissions of various companies as well as with economic and international indicators and targets. Correspondingly, our new climate target is to reduce CO_2 emission intensity, which is defined as the ratio of CO_2 emissions to revenue. With our new target, which is to lower this indicator by an average of roughly 10 percent per annum, we are exceeding the current ambitions of the European Union and the Science Based Targets initiative.

Sustainable Development Goals

Sartorius is a signatory to the United Nations Global Compact and supports the 2030 agenda for a sustainable global economy.

The United Nations developed 17 Sustainable Development Goals (SDGs). The governments of all member states have adopted the SDGs; however, their success is largely dependent on the actions and cooperation of everyone involved – especially on the commitment of the private sector. Sartorius accepts this responsibility.

To determine which SDGs are related to Sartorius' business activities, we also conducted a comprehensive materiality analysis in 2018. Sartorius regards nine SDGs as important in connection with its business operations.

Good health and well-being is - according to the United Nations - considered one of the basic human rights and is a major indicator of sustainable development. It is our mission and our core business to help improve the health of more people. Consequently, good health and well-being are at the heart of our attempts to achieve more sustainability and our corporate purpose directly addresses one of the Sustainable Development Goals.

Quality education empowers people to improve their political, social and economic situations. According to the United Nations it is a basic human right and a requirement for sustainable development. We contribute to this by continuously training our employees and through many forms of support for young scientists.

Gender equality is not only a UN human right, it is also a lever for economic growth. It gives women better access to education, medical care and financial resources. We support equality in our own business activities and expect our business partners to behave accordingly.

Access to clean drinking water was in 2008 recognized as a human right by the United Nations. Within the scope of our product stewardship, we try to keep the water consumption of our products as low as possible throughout their entire life cycle. We also make sure that our business partners handle water and wastewater responsibly.

Decent work and economic growth are an urgent sustainability goal, as more than 60 % of all workers worldwide do not have an employment contract and fewer than 45 % of all workers are employed on a full-time, permanent basis. Bad working conditions are often associated with poverty, discrimination and inequality and mainly affect groups of people such as women, people with a disability, young people and migrants. Therefore, at all process stages, we make sure that no human rights are endangered at any point within our supply chain.

Industry, innovation and infrastructure: this SDG aims to expand scientific research in all countries throughout the world. While Sartorius does not have a direct influence on the areas of infrastructure or sustainable industrialization, it does contribute in a wide variety of ways to achieve this innovation goal. By having our production sites serve as centers of competence, we develop scientific expertise at many sites across the globe. Our promotion of young people helps us spread and network the scientific basis worldwide and, as a result, strengthen future innovation activities.

Responsible consumption and production means, among other things, the transition to a circular economy. Sterile plastic products are a key component of Sartorius' product portfolio – for a good reason: the properties of these products are beneficial for the patients at the end of the supply chain, for the environment and for the basic availability and development of innovative medical care. At the same time, single-use products inevitably raise the question of the product's end of life. We are addressing this issue and considering the end of life of our products as well as their overall ecological footprint.

Action to combat climate change is taken within the company and also in our supply chain. Human-induced climate change is one of the greatest challenges of our time. It requires action from everyone concerned, especially the private sector. A key issue is to reduce emissions of CO_2 and other greenhouse gases. We accept this responsibility within the scope of our climate strategy.

Partnerships to achieve aims are a standard approach for Sartorius. We especially strengthen our innovation activities through partnerships and cooperation agreements. Achieving sustainability targets requires a cooperation approach because they concern the entire supply chain and success can be achieved only through cooperation with customers, suppliers, contractual partners and science.

General Disclosure

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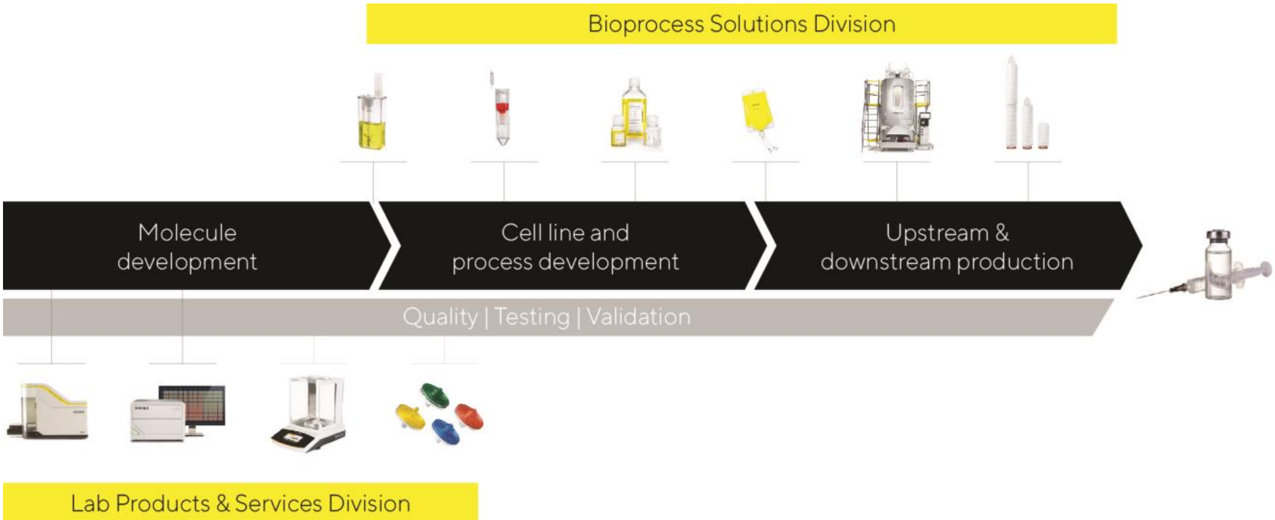
Organizational Profile

102-1
Name of the Organization
Sartorius AG

102-2
Activities, Brands, Products, and Services
As a leading partner of life science research and the biopharmaceutical industry, Sartorius helps its customers in the development and manufacture of biotech medications and vaccines – from initial idea in the lab to commercial-scale production. Our goal is to make complex and expensive development of biotech medicines and their production safer and more efficient. We cover the entire value-added chain of the biopharmaceutical industry and help with our products and services to ensure that novel therapies and vaccines reach the market faster and are accessible to more people worldwide.

The Sartorius Group conducts its operating business in two divisions: Bioprocess Solutions and Lab Products & Services. The divisions each combine their respective businesses for the same fields of application and user groups, and share part of the infrastructure and central services.

Strategic Focus on Biopharma Applications from Molecule Development to Production of Biopharmaceuticals



In the Bioprocess Solutions Division, Sartorius offers a broad portfolio of products that focuses on all major steps in the manufacture of a biopharmaceutical, as well as in process development as prerequisite procedures. Our technologies cover, inter alia, cell line technologies, cell culture media, bioreactors, and a wide range of products for separation, purification and concentration of biological intermediates and finished products, as well as solutions for their storage and transportation. Sartorius also offers data analytics software for modeling and optimizing processes of biopharmaceutical development and production.

We provide customers with complete process solutions from a single source, as well as assist with preceding project planning, process integration and subsequent validation. Our technologies are used in manufacturing all classes of medical drugs, from vaccines and monoclonal antibodies to advanced viral vector-based gene therapeutics.

The Lab Products & Services Division addresses pharmaceutical and biotech research laboratories as well as academic research institutes. We supply scientists and laboratory staff with the instruments and consumables they need to make their research and quality control easier and faster. These contribute toward accelerating the protracted timelines of drug development and increases the efficiency of R&D labs in the biopharmaceutical industry.

Beyond this, the division offers a wide range of premium laboratory instruments for sample preparation – such as laboratory balances, pipettes and lab water systems – as well as consumables, such as filters and microbiological test kits. In these product categories, Sartorius has leading market positions and significant market shares. Our solutions are designed to boost the efficiency and productivity of routine yet quality-critical lab processes and industry-specific workflows.

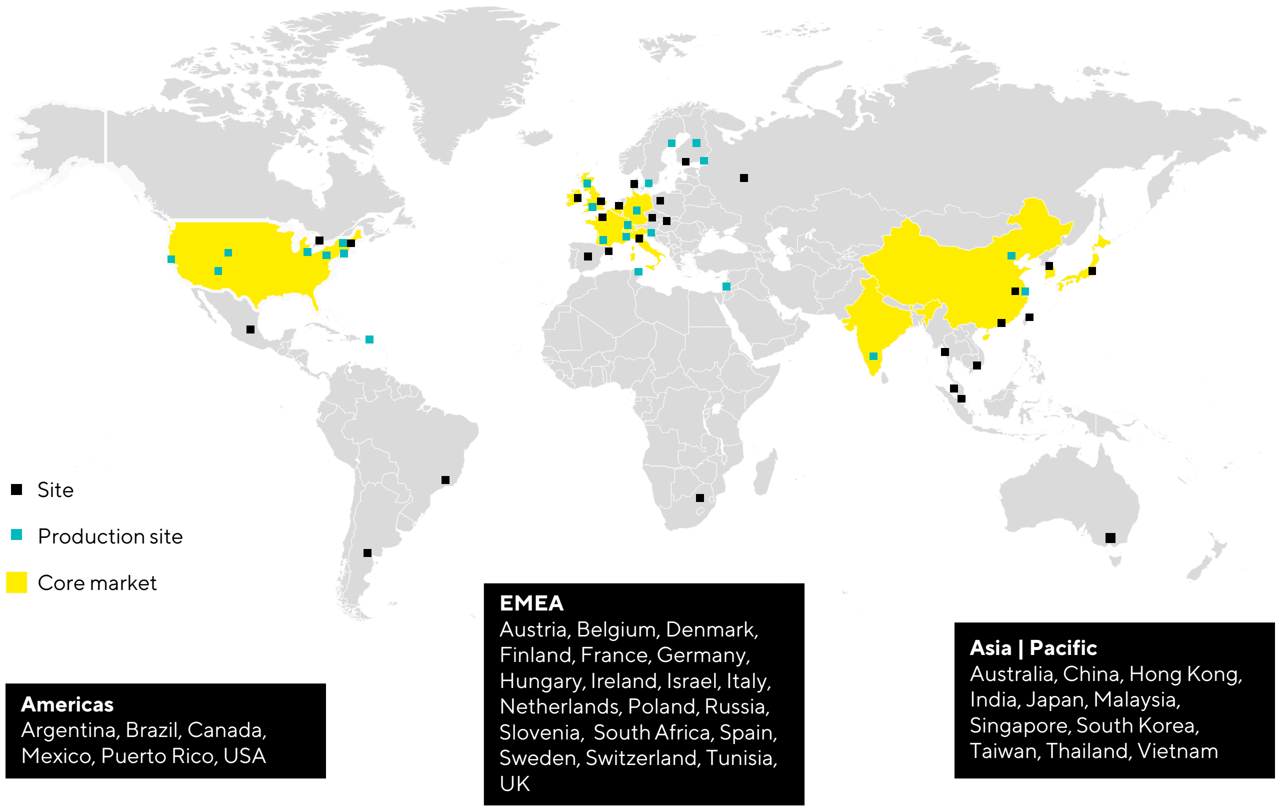
102-3
Location of Headquarters
Göttingen, Germany

102-4
Location of Operations
Overall, Sartorius is present in 37 countries[1]; most employees are located in China, Germany, France, India, Puerto Rico, Tunisia, the UK and the USA.

	2021	2020
Countries with at least one consolidated company of the Sartorius Group	37*	35

*Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Hong Kong, Hungary, India, Ireland, Israel, Italy, Japan, Malaysia, Mexico, Netherlands, Poland, Puerto Rico, Russia, Singapore, Slovenia, Spain, South Africa, South Korea, Sweden, Switzerland, Taiwan, Thailand, Tunisia, UK, USA, Vietnam

[1] The term "countries" includes states, provinces and territories and does not reflect any position regarding the state quality of a region.



102-5
Ownership and Legal Form

Sartorius AG is a joint stock corporation founded under German law.

Shareholder Structure: Ordinary Shares in %, related to ~34.2 million shares outstanding

Administered by an executor	~ 55
Bio-Rad Laboratories Inc.	~ 38
Free float	~ 7

Shareholder Structure: Preference Shares in %, related to ~34.2 million shares outstanding

Free float	~ 72
Treasury shares	~ 28

1 Information on shareholdings and shares in free float pursuant to Sections 33 et seq. of the German Securities Trading Act (WpHG). Reporting obligations refer only to ordinary shares and not to non-voting preference shares.

102-6
Markets Served

Sartorius markets its products and services worldwide, especially in its European core markets France, Germany and United Kingdom as well as in the USA, China, India, Japan and South Korea.

Both divisions serve primarily the needs of the biopharmaceutical industry. With its products, the division Lab Products & Services furthermore addresses academic research institutes as well as quality control labs in the chemical and food industries.

102-7
Scale of the Organization

Scale of the Organization

	Unit	2021	2020
Total number of employees	Headcount	13,832	10,637
Total number of operations	Countries	35	35
Revenue	€ in K	3,449,222	2,335,657
Sales revenue Bioprocess Solutions	€ in K	2,727,000	1,782,622
Sales revenue Lab Products & Services	€ in K	722,200	553,035
Equity	€ in K	1,720,196	1,380,295
Non-current liabilities	€ in K	2,430,572	2,233,359
Current liabilities	€ in K	1,547,164	4,484,744

Assets

€ in K	31.12.2021	31.12.2020
Non-current assets	3,901,130	3,275,431
Current assets	5,697,932	4,484,744

Beneficial ownership

The beneficial ownership, including the identity and percentage of ownership of the largest shareholder, are described under 102-5.

Sales Revenues by Regions and Countries

€ in K	2021	2020
EMEA	1,411,015	935,078
Of which Germany	317,958	210,205
Of which France	125,715	96,075
Americas	1,141,217	812,212
Of which USA	1,061,711	755,263
Asia | Pacific	896,990	588,368
Of which China	378,713	224,198
Of which South Korea	161,854	130,325

Employees by Region and Country[1]

Region	Country	Headcount	Share of total headcount
EMEA	Belgium	51	0.4%
	Germany	4,637	33.5%
	Finland	304	2.2%
	France	1,402	10.1%
	Ireland	17	0.1%
	Israel	228	1.6%
	Italy	72	0.5%
	Netherlands	32	0.2%
	Austria	21	0.2%
	Poland	18	0.1%
	Russia	128	0.9%
	Sweden	87	0.6%
	Switzerland	122	0.9%
	Slovenia	163	1.2%
	Spain	57	0.4%
	Tunisia	691	5.0%
	Hungary	13	0.1%
	UK	978	7.1%
EMEA Total		9,021	65.3%
Americas	Argentina	49	0.4%
	Brazil	46	0.3%
	Canada	31	0.2%
	Mexico	81	0.6%
	Puerto Rico	1,158	8.4%
	USA	1,427	10.3%
Americas Total		2,792	20.2%
Asia | Pacific	Australia	36	0.3%
	China	837	6.1%
	Hong Kong	6	0.0%
	India	631	4.6%
	Japan	138	1.0%
	Malaysia	14	0.1%
	Singapore	103	0.7%
	South Korea	33	0.2%
	Taiwan, China	16	0.1%
	Thailand	7	0.1%
	Vietnam	189	1.4%
Asia | Pacific Total		2,010	14.5%
Total		13,823	100%

1 Reports for 2021.

102-8
Information on Employees and Other Workers

Employees by Employment Contract by Gender[1, 2]

	Unlimited contract	Limited contract	Total
Female	4,727	707	5,434
Male	7,541	857	8,398
Total	12,268	1,564	13,832

1 Reports for 2021.
2 Employee figures are shown as headcount.

Employees by Employment Contract by Region[1, 2]

	Unlimited contract	Limited contract	Total
EMEA	8,133	897	9,030
Americas	2,787	5	2,792
Asia | Pacific	1,348	662	2,010
Total	12,268	1,564	13,832

1 Reports for 2021.
2 Employee figures are shown as headcount.

Employees by Employment Type by Gender[1, 2]

	Full-time	Part-time	Total
Female	4,828	606	5,434
Male	8,031	367	8,398
Total	12,859	973	13,832

1 Reports for 2021.
2 Employee figures are shown as headcount.

Workers That Are Not Employees by Region[1, 2]

	Other employees[3]	Contingent workers[4]	**Total**
EMEA	502	1161	1,663
Americas	9	392	401
Asia | Pacific	8	189	197
Total	519	1,742	2,261

1 Reports for 2021.
2 Employee figures are shown as headcount.
3 Paid by Sartorius Payroll (apprentices, interns).
4 Paid by Finance (office workers, factory staff).

102-9
Supply Chain

Respect for human rights, the maintenance of high environmental standards and good, safe and fair working conditions for the production of our products is important to us, and apply to sites outside our own production as well. With more than 8,000 suppliers in more than 40 countries and a purchasing volume that corresponds to about 40% of our sales revenue[1], it is obvious that our upstream supply chain is important for us to implement these goals. Based on its procurement volume as a gauge, less than three percent of its suppliers are headquartered in regions with potential conflicts regarding human rights issues. Around 97 percent of the company's procurement needs are sourced from suppliers headquartered in an OECD country. Around 51 percent of its procurement volume is sourced from German companies, 15 percent from US-American companies and another 8 percent from companies headquartered in France.

Moreover, the value chains for pharmaceuticals are very sensitive and are the focus of many stakeholders. In particular, patients at the end of the supply chain are dependent on their medications being available and safe at all times.

Since January 2020, we have been verifying suppliers' compliance with our sustainability requirements via an external evidence-based ESG assessment, as well as in-house ESG quick checks. In the year under review, we have been working to set up a comprehensive risk management system and design new processes in order to be able to meet and document the requirements of the new Supply Chain Act in the near future, but by no later than 2023.

Our Code of Conduct for Business Partners provides the basis for collaboration with our business partners throughout the Group. Our requirements with regard to the environment, social matters and governance are defined in the Code. Since December 2019, acknowledgment of the Code of Conduct is part of the acceptance process for new suppliers. In 2020, we began systematically reviewing whether our existing suppliers have acknowledged the Code and, if not, asking them to do so.

For suppliers who are very relevant for our business processes and/or a high purchasing volume, we work together with the external sustainability assessment platform EcoVadis. The external ESG assessment is based on a self-assessment, a review of the associated documents and information from external sources. EcoVadis reviews 21 indicators in the areas of environment, labor and human rights, ethics and sustainable procurement.

Beginning in 2021, Sartorius quality auditors systematically conducted ESG quick checks within the scope of all planned quality audits in the suppliers' production plants. For this purpose, Sartorius put its sustainability requirements into a questionnaire. This will be provided to suppliers before the audit. During on-site auditing of suppliers' production plants, compliance with the requirements of our Code of Conduct for Business Partners is reviewed on the basis of the questionnaire.

The objective of all measures is to initiate actual improvements in the working, social and environmental standards of our suppliers. Sartorius Management is involved in shaping the process via the Corporate Sustainability Steering Committee and is informed about the progress being made.

We do not establish business relationships with suppliers where we see a considerable risk of child, forced or mandatory labor, other breaches of human rights or negative impacts on society, and will end any existing relationships with such suppliers. This procedure is also defined in our new process for sustainability in the supply chain.

[1] Revenue and purchasing volume in 2021.

During the Covid-19 pandemic, we are focusing on securing our delivery capabilities. This is very important considering the validated production processes of our customers. This is why we manage stocks of raw materials and finished products actively and maintain high levels of safety stock.

102-10
Significant Changes to the Organization and its Supply Chain

In the reporting year, Sartorius expanded its product portfolio for cell culture media and extended its production network in this segment by making two acquisitions. Sartorius, through its subgroup Sartorius Stedim Biotech, acquired a majority stake in CellGenix. The company based in Freiburg, Germany, and with a sales subsidiary near the biotechnology hub in Boston, Massachusetts, USA, produces and markets critically essential cell culture components, such as growth factors, cytokines and media in GMP quality, for manufacturing cell and gene therapy products. The Freiburg site is a center of excellence for developing and manufacturing cell culture components and will be further expanded. With a workforce of around 70 people, CellGenix generated sales of about €20 million in 2020.

In addition, Sartorius through its subgroup Sartorius Stedim Biotech acquired cell culture specialist Xell headquartered in Bielefeld, Germany. Xell develops, produces, and markets media and feed supplements for cell cultures, especially for manufacturing viral vectors that are used in gene therapeutics and vaccines. Beyond these media, the company offers various analytical services for characterizing, screening, and quantifying media components, as well as for optimizing media composition. In 2021, Xell generated sales of approximately €5million and employed around 35 people.

Furthermore, in February 2022, Sartorius, through its subgroup Sartorius Stedim Biotech, completed the acquisition of the chromatography process equipment division of Novasep with sites in Pompey, northern France, as well as in the USA, China and India. This division of approximately 100 people specializes in resin-based batch and intensified chromatography systems, and its product portfolio is complementary to the existing chromatography offering.

On January 3, 2022, Sartorius acquired a majority stake in ALS Automated Lab Solutions to expand its bioanalytics portfolio. The laboratory technology company based in Jena, Germany, develops, manufactures, and markets solutions for automated analysis, selection, and isolation of cells. With these solutions, ALS enables life science customers to significantly reduce time to result and cost in cell line development and antibody discovery. Sartorius initially purchased 62.5% of the shares in ALS and plans to acquire the remaining 37.5% in 2026. ALS employed around 30 people and generated sales revenue in the high single-digit million-euro range in 2021.

The assumption of responsibility in global supply chains is also governed by a growing number of laws and requirements. In particular, the German Act on Corporate Due Diligence in Supply Chains, which was passed by the German parliament in July 2021, seeks to improve the international human rights situation by setting out requirements for the responsible management of supply chains. This Act comes into effect for German based companies with more than 3,000 employees on January 1, 2023.

102-11
Precautionary Principle or Approach

At Sartorius, identification and management of opportunities and risks is a cross-functional component of Group management. Further information on risk management is provided in the 2021 Annual Report on pages 71 seq.

Sartorius is responsible towards its employees, the environment, and society. This responsibility must be perceived throughout the entire supply chain. In particular, the company's actions with regard to environmental matters, employee and social aspects, anti-corruption and bribery issues and respect for human rights can lead to non-financial risks. This is why Sartorius strives to consider risks that have an impact on the company, but what is more, to examine the risks Sartorius poses for its environment with its business operations as well.

Risks can occur especially in connection with the manufacture of sterile products used in bioprocesses, since this can require the use of plastics, energy and solvents. Non-financial risks can also occur through the procurement of materials. This is why, when Sartorius is choosing partners and suppliers, it pays particular attention that statutory and ethical rules are complied with.

In the reporting year, no non-financial risks were identified that would have to be reported according to CSR-RUG.

The requirements defined in the German CSR Directive Implementation Act (CSR-RUG) are the basis of the ESG risk analysis. Sartorius aims for the greatest possible integration of risk management processes in the company.

102-12
External Initiatives
Sartorius supports or is committed to the following initiatives that promote sustainable development (in alphabetic order):

- Global Reporting Initiative
- UN Global Compact
- UN Sustainable Development Goals

102-13
Membership of Associations
Partnerships or memberships in national and international organizations have a high strategic value for our work. For example, we are active in the following associations (in alphabetic order):

- AIPIA – Active & Intelligent Packaging Industry Association
- BPOG - Biophorum Operations Group
- BPSA – Bio-Process Systems Alliance
- CCRM
- Centrum für europäische Politik
- CLSA – Canadian Laboratory Suppliers Association
- DIRK – Deutscher Investor Relations Verband
- econsense
- European Plastics Pact
- HessenChemie

- MEDEF - Mouvement des entreprises de France
- PDA - Parenteral Drug Association
- Rx-360
- SLA – Scottish Lifescience association
- SPECTARIS - Deutscher Industrieverband für Optik, Photonik, Analysen- und Medizintechnik
- Stifterverband
- Südniedersachsen Stiftung
- Swiss Biotech Association
- VDMA

Strategy

102-14
Statement from Senior Decision-Maker
See in this report 'Responsibility at Sartorius', page 3.

102-15
Key Impacts, Risks, and Opportunities
Our corporate mission is to promote scientific progress in the life sciences, which in turn supports the development of new vaccines, more effective therapies and affordable medical care. Consequently, good health and well-being are at the heart of our attempts to achieve more sustainability and our corporate purpose directly addresses one of the Sustainable Development Goals.

The biopharmaceutical market is rapidly developing – it is an area in which scientific breakthroughs leading to new therapies occur at a high rate. At the same time, it still takes about ten years to develop a new pharmaceutical drug and this remains cost-intensive. Our aim is to help our biopharmaceutical customers develop and produce biopharmaceuticals more efficiently.

In past years, technologies from Sartorius have been used in the development and production of vaccines to combat various diseases, such as Ebola, Zika and H1N1. In the reporting year, the company's products and process knowledge made a significant contribution towards fighting the COVID-19 pandemic: Sartorius is involved in most vaccine projects throughout the world.

Sartorius generates almost two thirds of its sales revenue with sterile products that are used in biopharmaceutical research where they ensure the safety, efficiency and ecological compatibility of the processes. Risks can occur especially in connection with the manufacture of these products, since this can require the use of plastics, energy and solvents. Non-financial risks can also occur through the procurement of materials. This is why, when Sartorius is choosing partners and suppliers, it pays particular attention that statutory and ethical rules are complied with.

Key Impacts

Environment	Social	Governance
Energy & Emissions	Good Health & Well-Being	Compliance
Material & Waste	Working Conditions	Supply Chain
Product End-of-Life	Occupational Health & Safety	Human Rights
	Career & Training	Anti-Corruption

The most important processes and advances implemented in the treatment of these topics are described in the particular sections of this GRI Report.

Ethic and Integrity

102-16
Values, Principles, Standards, and Norms of Behavior

Sustainability, openness, enjoyment are the values that shape our work with colleagues, customers and business partners alike. By incorporating them into our thoughts and actions on a daily basis, we create a positive corporate culture, which is an important source of long-term economic success, lasting motivation and above-average performance.

We regard compliance with applicable laws as self-evident. Beyond this, we have set ourselves the standard of managing our company with integrity.

We are committed to upholding internationally recognized human and labor rights as a basis of our worldwide business operations. A significant task in this regard is to create a common understanding of fair working conditions – at all our sites and in the supply chain.

The Sartorius Code of Conduct defines the requirements we place on our employees with respect to responsible conduct. The code helps employees act ethically and in accordance with the law in their daily work. In everything they do, employees are required to ask themselves the following questions: Are my actions legal? Does my conduct correspond to our values and guidelines? Is it free of personal interests (that are not covered by labor law regulations)? Will it stand up to public scrutiny? The Code of Conduct covers compliance with international social and environmental standards, general rules of conduct and dealing with conflicts of interest.

Our Code of Conduct for business partners is the basis for collaboration with our business partners throughout the Group. Our requirements with regard to the environment, social matters and governance are defined in the Code. Since December 2019, acknowledgment of the Code of Conduct is part of the acceptance process for new suppliers. In 2020, we began systematically reviewing whether our existing suppliers have acknowledged the Code and, if not, asking them to do so. In some cases, a supplier's similar Code of Conduct can replace our Code of Conduct.

102-17
Mechanisms for Advice and Concerns about Ethics

The Sartorius Code of Conduct defines the requirements we place on our employees with respect to responsible conduct and it comprises minimum standards relating to the law-abiding and ethical approach that all Sartorius employees across the world must meet. We expect our business partners and especially our suppliers to act accordingly. This is laid down in our Code of Conduct for Business Partners.

A complaint system ensures that employees and external third parties can report cases of damaging conduct, such as corruption, discrimination or sexual harassment. The compliance team can be contacted face-to-face, via a telephone hotline, the department's electronic mailbox or – in the case of anonymous reports – the whistleblower system. The relevant contact options are listed on the intranet and are thus available company-wide. They are also available on the company's website and can thus be accessed by external persons concerned.

Governance

102-18
Governance Structure

With the Annual General Shareholders' Meeting, Supervisory Board and Executive Board, the Sartorius AG has three corporate managerial bodies whose tasks and powers are essentially derived from the German Stock Corporation Law ("Aktiengesetz") and the company's Articles of Association.

As owners of the company, the shareholders exercise their rights at its Annual General Shareholders' Meeting, where they decide, in particular, on the appropriation of profits, measures concerning share capital, amendments to the Articles of Association, discharge of the Supervisory Board and the Executive Board and on the appointment of statutory auditors, as well as elect shareholder representatives to the Supervisory Board. The Annual General Shareholders' meeting is held at least once a year within the first eight months of the respective fiscal year.

In managing the company, the Supervisory Board and the Executive Board perform their tasks in a two-tier board structure, each with separate duties and powers.

The Supervisory Board appoints members to the Executive Board, determines their remuneration and monitors and advises the Executive Board in its management of the company. The Supervisory Board is not authorized to take any operational management measures for the business. The Supervisory Board has established four committees: the Executive Task Committee, the Audit Committee, the Conciliation Committee and the Nomination Committee. Further information on the work of the Supervisory Board and its committees is provided in the Report of the Supervisory Board.

The Executive Board is responsible for independently managing the company. In particular, it defines corporate strategy, coordinates and agrees on this approach with the Supervisory Board and implements such corporate strategy. In line with established reporting obligations, the Executive Board regularly informs the Supervisory Board promptly and comprehensively, and requests the latter's approval for certain key business transactions. Further information on the corporate governance is provided in the 2021 Annual Report on pages 92 et seq.

The Corporate Responsibility Steering Committee meets at least once each year. Under the direction of the CEO, senior-level managers and corporate responsibility officers discuss approaches that Sartorius could use to contribute to greater sustainability.

102-20
Executive-Level Responsibility for Economic, Environmental and Social Topics

The Executive Board of Sartorius AG manages the business activities of the company according to the legal requirements, the Articles of Association of the company and the board's Rules of Procedure. The members of the Executive Board are jointly responsible for the management of the company as a whole. This includes economic, ecological, and social topics.

Corporate Responsibility as the coordinating unit for the company's sustainability activities is part of the Corporate Communications & IR Department of which the Executive Board Chairman is in charge.

102-21
Consulting Stakeholders on Economic, Environmental, and Social Topics

For further information on consulting stakeholders, see 102-42, 102-43, 102-44 as well as 102-46.

102-22
Composition of the Highest Governance Body and Its Committees

The Sartorius Executive Board is a committee that presently consists of four members and is therefore relatively small; the establishment of a rigid gender quota can be problematic. The current four members of the Executive Board of Sartorius AG are men. The appointment of at least one woman to the Executive Board was defined as a target to be met by the present deadline of June 30, 2022.

The Supervisory Board is composed of 12 members and has an equal number of shareholder representatives and employee representatives. Seven men total (around 58%) are members of this board, of whom four are shareholder representatives and three employee representatives. In addition, five women (around 42%) are members of this board, among them two representatives of the share owners and three representatives of the employees.

In the opinion of the shareholder representatives on the Supervisory Board, Prof. Dr. David Ebsworth, Dr. Daniela Favoccia, Ilke Hildegard Panzer, Prof. Dr. Thomas Scheper and Prof. Dr. Klaus Rüdiger Trützschler are independent members of the Supervisory Board. As the executor for the community of heirs of Horst Sartorius, Dr. Lothar Kappich is to be regarded as dependent upon the controlling shareholder. However, despite the fact that Dr. Kappich has served on the Supervisory Board since April 2007 and has thus been a member for more than 12 years, the shareholders on the Supervisory Board regard him as independent of the company and its Executive Board. Thus, a Supervisory Board membership of many years alone should not, in this case, lead to the fear of a personal or business relationship with the company or its Executive Board that would justify a significant and not merely temporary conflict of interest. In particular, the circumstance that Dr. Kappich represents the majority of the voting rights in the company counters the presumption of his dependence on the company and its Executive Board.

The Executive Task Committee, Audit Committee and Conciliation Committee each have four members and have an equal number of shareholder representatives and employee representatives. The Nomination Committee is comprised of representatives of the shareholders only.

An overview of the names of the members of the Executive Board, the Supervisory Board and of the latter's committees, including information on other internal and external Group positions held by these individuals, is provided in the 2021 Annual Report on pages 239 et seq.

102-23
Chair of the Highest Governance Body

Dr. Lothar Kappich was Chairman of the Supervisory Board throughout the entire reporting period. He is neither an active member of the Executive Board of Sartorius AG nor a former member of this board. During the same period,, Dr. Joachim Kreuzburg was the Executive Board Chairman and CEO.

102-24
Nominating and Selecting the Highest Governance Body

The election of the Supervisory Board members is conducted separately for the shareholder representatives and the employee representatives. The six employee representatives are elected according to the German Codetermination Law ("Mitbestimmungsgesetz") and the six shareowner representatives are elected by the Annual General Shareholders' Meeting. The Nomination Committee, which is comprised of representatives of the shareholders only, shall propose suitable candidates to the Supervisory Board for the latter's election proposals submitted to the Annual Shareholders' Meeting. The Annual Shareholders' Meeting is not bound by the proposals for the election of the shareholder representatives to the Supervisory Board.

Members of the Supervisory Board of Sartorius AG are to be appointed such that they, on the whole, have the knowledge, skills and experience that are necessary to perform the board's duties properly. This includes among other aspects that independent members shall account for no less than 25% of the Supervisory Board.

In addition, the Supervisory Board also defined a competence profile for itself. This also covers aspects such as diversity, for example, with regard to professional background and international experience. In view of achieving an appropriate gender balance, the legal quotas of at least 30% women and at least 30% men apply to the Sartorius Supervisory Board. The shareholder representatives and the employee representatives decided to fulfill these legal targets separately.

Further information on the objectives for appointments to the Supervisory Board, the diversity policy and the competence profile is provided in the 2021 Annual Report on pages 94 et seq.

The Supervisory Board appoints members to the Executive Board. In the opinion of the Supervisory Board, the basic qualification criteria for appointments to positions on the Executive Board are professional qualifications for heading each particular area of responsibility, a proven track record in the individual's career path and convincing managerial skills. In addition, the Supervisory Board also considers the aspect of diversity in its appointment decisions. Therefore, the Supervisory Board strives to appoint people with complementary profiles, professional and personal life experiences and in different age brackets to the Executive Board. Moreover, the latter board is required to have broad international experience.

102-25
Conflicts of Interest

According to the requirements of the German Corporate Governance Code (GCGC), which Sartorius fully complies with in its current version of December 16, 2019, members of the Executive Board and the Supervisory Board are required to disclose conflicts of interest to the Supervisory Board without undue delay. The GCGC also stipulates that the Supervisory Board must inform the Executive Board in its report to the Annual Shareholders' Meeting about any conflicts of interest that have occurred and how they were handled. Furthermore, the Rules of Procedure of the Supervisory Board of Sartorius AG require that each member of the Supervisory Board disclose conflicts of interest to the Chairman without undue delay.

Further internal and external Group positions of the Executive Board and of the Supervisory Board are disclosed in the 2021 Annual Report on pages 237 et seq. The brief curricula vitae of these members are additionally published on the company's website, and the ownership structure of Sartorius AG is described under 102-5. Share trading activities of Supervisory and Executive Board members as related persons are discussed in the 2020 Annual Report on page 103. Likewise, further information on related companies and persons is given in the 2021 Annual Report on page 222.

102-29
Identifying and Managing Economic, Environmental, and Social Impacts

The Supervisory Board advises and supervises the Executive Board on the management of the company. This covers economic, ecological and social impacts.

The Non-Financial Group Statement is submitted to the Supervisory Board as the highest-level governance body and contains non-financial topics and indicators that are key for Sartorius.

102-30
Effectiveness of Risk Management Processes

Overall responsibility for the maintenance of an effective risk management system ensuring comprehensive and consistent management of all material risks rests with the Executive Board. The Finance & Controlling Department is responsible for coordinating and developing this system and for consolidated risk reporting, while the particular functional areas are responsible for identifying, analyzing and reporting individual risks, as well as for assessing their potential impact and taking the appropriate countermeasures. With regard to CSR risks, the Finance & Controlling Department is supported by the Corporate Responsibility unit.

Sartorius is responsible towards its employees, the environment, and society. This responsibility must be perceived throughout the entire supply chain. In particular, the company's actions with regard to environmental matters, employee and social aspects, anti-corruption and bribery issues and respect for human rights can lead to non-financial risks. This is why Sartorius strives to consider risks that have an impact on the company, but what is more, to examine the risks Sartorius poses for its environment with its business operations as well.

Risks can occur especially in connection with the manufacture of sterile products used in bioprocesses, since this can require the use of plastics, energy and solvents. Non-financial risks can also occur through the procurement of materials. This is why, when Sartorius is choosing partners and suppliers, it pays particular attention that statutory and ethical rules are complied with.

In the reporting year, no non-financial risks were identified that would have to be reported according to CSR-RUG.

The requirements defined in the German CSR Directive Implementation Act (CSR-RUG) are the basis of the ESG risk analysis. Sartorius aims for the greatest possible integration of risk management processes in the company.

The Supervisory Board of Sartorius AG monitors the effectiveness of the risk management system, with the preparatory work being performed by the Audit Committee of this board. While carrying out their statutory audit mandate for the annual financial statements and consolidated financial statements, the independent auditors assess whether the early warning system in place is capable of prompt identification of risks that could jeopardize the future of the company. Finally, the Internal Audit Department regularly reviews the risk management process and system. For further information, see the 2021 Annual Report, pages 71 et seq.

102-31
Review of Economic, Environmental, and Social Topics

The Supervisory Board reviewed the Non-Financial Group Statement included in the company's Annual Report.

102-32
Highest Governance Body's Role in Sustainability Reporting

The Non-Financial Group Statement contained in this Annual Report was reviewed by the Supervisory Board.

102-33
Communicating Critical Concerns

Critical concerns are communicated to the Supervisory Board in several procedural ways. The Audit Committee meets once a year and reviews the report of Internal Auditing; additionally, the Risk Management unit regularly reports on risk to this committee. Furthermore, the Chief Compliance Officer and the Chairman of the Audit Committee remain in regular contact to exchange information.

102-35
Remuneration Policies

The Remuneration Report in the 2021 Annual Report on pages 100 et seq. contains information on the remuneration policy in place for the Executive Board and the Supervisory Board, including disclosures on performance-based remuneration for the Executive Board, multi-year components intended to have a long-term incentive, pension commitments and on severance caps. In this section, information is provided as required by the German Corporate Governance Code (GCGC).

102-36
Process for Determining Remuneration

The remuneration policy for the Executive Board aims to remunerate the members of the Executive Board appropriately in line with their tasks and responsibilities and to directly consider the performance of each member of the Executive Board and the success of the company. Accordingly, the remuneration policy includes fixed remuneration components as well as short- and long-term variable remuneration components.

The company strategy is aimed at achieving profitable growth and a sustained, long-term increase in the value of the company. This strategy is the basis from which the structure of the remuneration policy is derived for the Executive Board of Sartorius AG: The short-term variable remuneration depends on annual corporate targets that are aligned with key performance indicators for profitable growth of the company. Long-term remuneration depends on a corporate goal that reflects the sustainable and long-term growth of the company and the Group, on the one hand, and on the long-term performance of the share price, which directly reflects the development of the company's value, on the other. As a result, the company's remuneration policy creates incentives to promote the long-term and positive sustainable development of the company. Further information is available in the 2021 Annual Report on pages 109 et seq.

The Supervisory Board establishes and regularly reviews the remuneration policy for the Executive Board. The Executive Task Committee of the Supervisory Board prepares the remuneration policy for approval by the full Supervisory Board and makes the respective suggestions. In the process, the Supervisory Board also reviews the appropriateness of such remuneration in comparison to the remuneration of the Executive Board within the peer group of the company (horizontal appropriateness). The peer group is defined by the Supervisory Board and/or its Executive Task Committee. and is adapted as necessary. Further information on the peer group is available in the 2021 Annual Report on page 110 et seq.

In establishing the remuneration for the Executive Board members, the Supervisory Board further considers both the compensation of senior management and that of the remaining workforce in relation to the German Group companies (vertical appropriateness). For these purposes, the Supervisory Board defines senior management as the group of executives of the first two management levels below the Executive Board. The Supervisory Board looks not only at the current compensation ratio, but also at how it has developed over time.

If necessary, the Supervisory Board will engage an independent compensation consultant to review vertical and horizontal appropriateness; this was last done in 2018. Furthermore, the Supervisory Board also takes into account the requirements of the German Corporate Governance Code when determining and reviewing the remuneration of the Executive Board.

Any conflict of interest in the establishment, implementation and review of the remuneration policy shall be treated by the Supervisory Board in the same way as other conflicts of interest in the person of a Supervisory Board member. The Supervisory Board member concerned is therefore required to disclose any conflict of interest to the Chairman of the Supervisory Board and will not participate in the adoption of resolutions or in the deliberations concerned. Disclosure of any conflicts of interest at an early stage ensures that the decisions of the Supervisory Board are not influenced by inappropriate considerations.

102-38
Annual Total Compensation Ratio

Annual Total Compensation Ratio[1, 2, 3, 4]

Country	Highest-paid individual to median in each country
China	9.55
Germany	13.46
France	11.10
India	13.02
Puerto Rico	13.52
Tunisia	22.43
USA	3.40
UK	4.61
Group[5]	16.87

1 Reports for 2021.
2 Annual total compensation is defined as the sum of the annual base salary and the annual bonus target amount. For part-time employees the total compensation target is calculated up to one full-time equivalent.
3 In countries with large facilities in terms of the number of employees.
4 We consider employees, whose salary is paid out in the standard local currency.
5 Calculated in euro.

Stakeholder Engagement

102-40
List of Stakeholder Groups

Our stakeholders are our customers, employees, investors, suppliers and business partners, as well as neighboring companies and local residents.

102-41
Collective Bargaining Agreements

Employees Covered by Collective Bargaining Agreements[1, 2]

Region	Country	Employees covered by collective bargaining agreements
EMEA	Belgium	100%
	Germany	84%
	Finland	96%
	France	100%
	Ireland	0%
	Israel	0%
	Italy	100%
	Netherlands	0%
	Austria	0%
	Poland	0%
	Russia	0%
	Sweden	100%
	Switzerland	0%
	Slovenia	0%
	Spain	100%
	Tunisia	70%
	Hungary	0%
	UK	0%
EMEA Total		70%
Americas	Argentina	37%
	Brazil	100%
	Canada	0%
	Mexico	0%
	Puerto Rico	75%
	USA	0%
Americas Total		33%
Asia | Pacific	Australia	0%
	China	0%
	Hong Kong	0%
	India	13%
	Japan	0%
	Malaysia	0%
	Singapore	0%
	South Korea	0%
	Taiwan, China	0%
	Thailand	0%
	Vietnam	0%
Asia | Pacific Total		4%
Total		53%

1 Reports for 2021.
2 Employee figures are shown as headcount.

102-42
Identifying and Selecting Stakeholders
We define stakeholders as those persons, companies, institutions and interest groups that are able to influence the success of the Sartorius Group or are affected by the actions of our company.

102-43
Approach to Stakeholder Engagement
Sartorius engages in a very close, ongoing dialog with its stakeholders, using this exchange to regularly discuss aspects of sustainability.

In the reporting year, we had intensive discussions about the subject of sustainability with our customers. During many meetings, we discussed the expectations of our customers and started cooperation projects. To get a comprehensive overview in this regard, in collaboration with a market research institute we wrote to more than 70 customers, asking them how they perceived Sartorius' contributions towards sustainability and also to tell us about their expectations.

In the reporting year, Sartorius strengthened its dialog with its own staff with two major surveys involving employees. We set up a section on the Intranet specifically dealing with the topic of sustainability.

In November, Sartorius once again took part in the ESG-SRI Conference of Société Générale. In March, the German Stock Exchange presented the new sustainability index DAX 50 ESG. The index tracks the performance of the fifty largest and most liquid German stocks that have particularly sustainable business practices based on the Environmental, Social and Governance criteria. Sartorius is included in the DAX 50 ESG.

The results of the stakeholder dialog were discussed in the Corporate Responsibility Steering Committee and, in this way, are taken into account in Sartorius' strategy process.

Sartorius participates in sustainability analyses and ratings to gauge its performance with respect to its environmental, social and governance-related business practices. In the EcoVadis Rating, Sartorius achieved silver level and, with this score, positioned itself among the best 19 percent of the companies assessed. Sartorius was given an A in the MSCI Sustainability Rating.

102-44
Key Topics and Concerns Raised
In 2017, we asked our stakeholders about many key topics and concerns and prioritized the latter in our materiality analysis. The results of this analysis form the basis for the content reported. See also 102-46.

Reporting Practice

102-45
Entities Included in the Consolidated Financial Statements
See the list in the 2021 Annual Report on pages 173 et seq.

102-46
Defining Report Content and Topic Boundaries

In defining the materiality of our GRI Report, we used the definitions of the Global Reporting Initiative (GRI) as guidance. According to these terms, topics need to be treated that show the essential economic, ecological and social impacts of an organization or substantially affect the assessments and decisions of the stakeholders.

We conducted a comprehensive materiality analysis in 2017 to determine the material topics for the business activities of the Sartorius Group. Further information on the company's materiality analysis is provided in the 2017 Annual Report, pages 88 et seq., as part of the Non-Financial Statement of the Group.

For reporting in the year under review, we assessed discussions with customers and investors, taking into account the views of managers in Sales, Product Marketing, Purchasing, Quality Management, Legal & Compliance, Corporate Communications as well as Research and Development and Production. The Executive Board confirmed the results of this process.

Unless otherwise indicated, the employee-related data covers all Sartorius companies. Unless otherwise specified, the environmental indicators encompass all our production companies, representing 77% of the total headcount.

102-47
List of Material Topics

Material topics	Assigned contents according to GRI
Innovation & Social Contribution	Innovation & Social Contribution
	203 Indirect Economic Impacts
Employees	401 Employment
	403 Occupational Health and Safety
	404 Training and Education
	405 Diversity and Equal Opportunity
	406 Non-Discrimination
Responsible Business Practices	205 Corruption
	206 Anti-Competitive Behavior
	307 Environmental Compliance
	308 Supplier Environmental Assessment
	412 Human Rights Assessment
	414 Supplier Social Assessment
	415 Public Policy
	419 Socioeconomic Compliance
Environment	301 Materials
	302 Energy
	303 Water and Effluents
	305 Emissions
	306 Waste
	Product Stewardship

102-48
Restatement of Information

No information

102-49
Changes in Reporting
No information

102-50
Reporting Period
The reporting period of the GRI Report is the fiscal year from January 1 to December 31. The editorial deadline was on 31.03.2022

102-51
Date of Most Recent Report
May 2021

102-52
Reporting Cycle
The reporting cycle is annual.

102-53
Contact Point for Questions Regarding the Report
Katharina Tillmanns-Pelzer
Head of Corporate Sustainability

Phone: +49.551.308.2893
E-mail: katharina.tillmanns@sartorius.com

Sartorius Corporate Administration GmbH
Otto-Brenner-Straße 20
37079 Goettingen, Germany
www.sartorius.com/en/company/corporate-responsibility

102-54
Claims of Reporting in Accordance with the GRI Standards
This report has been prepared in accordance with the GRI Standards: Core option.

102-55
GRI Content Index
To ensure a better overview and comparability, the structure of our GRI Report exactly follows the GRI Standards. See also GRI Content Index at the end of this GRI Report for a detailed overview.

102-56
External Assurance
Within the scope of a review of the Non-Financial Group Statement, the certified independent auditing company KPMG assessed the items in blue font in the form of an audit with limited assurance. The audit was conducted in accordance with the International Standard on Assurance Engagements (ISAE) 3000 Revised. On the basis of this review, KPMG issued an unqualified opinion. Further information on the independence of the auditing firm, on the practitioner's responsibility and the conclusion is provided in the 2021 Annual Report of the Sartorius AG, pages 122 et seq.

Economic Standards

200

203 Indirect Economic Impacts

103
Management Approach

Our business activities have a variety of positive effects on the development of the cities and communities in which we operate, mostly on a long-term basis. At our main manufacturing sites, in particular, we are among the largest private employers and clients locally and therefore contribute toward increasing growth and purchasing power.

203-2
Significant Indirect Economic Impacts

Many large production facilities of Sartorius are located in small to mid-size cities and communities, and are among the most important employers there, such as in Göttingen, Germany; Aubagne, France; and Yauco, Puerto Rico. At our Group headquarters in the university city of Göttingen, Sartorius with its workforce of more than 3,300 people is the largest private employer in this area. Also in the rural region in nearby Guxhagen, the company is of key importance to the local economy.

In Aubagne, a city with a population of around 45,000, for example, we offer attractive long-term jobs to more than 1,000 people. As a member of the large French employers' federation MEDEF, Sartorius works closely with national and local institutions to help improve the employment market situation. Our expanded plant in Yauco provides employment for also more than 1,000 people directly at Sartorius and many additional people at local service providers and suppliers, such as for maintenance of our site machinery and buildings and for our plant security.

205 Anti-Corruption

103
Management Approach

We regard compliance with applicable laws as self-evident. Beyond this, we have set ourselves the standard of managing our company with integrity.

We are committed to upholding internationally recognized human and labor rights as a basis of our worldwide business operations. A significant task in this regard is to create a common understanding of fair working conditions – at all our sites and in the supply chain.

Sartorius conducts its business in compliance with globally accepted ethical standards and applicable national legal requirements. The German Corporate Governance Code defines requirements for management boards and supervisory boards including their interaction with regard to transparency, accounting and auditing and the conduct of annual general meetings. Legal & Compliance reports to the CEO and informs the Supervisory Board in the Audit Committee. Sartorius follows the rules and recommendations of the German Corporate Governance Code in its current version of December 16, 2019.

Our globally applicable compliance management system is intended to ensure that our Supervisory and Executive Board members, management and employees comply with all legal regulations and codes, and act according to our internal guidelines. The Legal Affairs & Compliance department is responsible for legal consulting, internal auditing, corporate security, data protection, anti-corruption, customs and export control.

A dedicated team has the task of the implementing and enforcing all Group compliance topics. The Anti-Corruption Code forms the basis for raising employee awareness about corruption risks. It is also a guideline, instruction manual and aid in taking the necessary action to both prevent and fight corruption at specific companies or in specific sectors. An anticorruption officer has been appointed by Group management as a contact person for corruption prevention. This officer pursues his or her duties independently.

We ensure that our employees are familiar with the Anti-Corruption Code and the Code of Conduct by asking all employees worldwide every year to take part in an online training course and complete a test at the end of it. The course teaches employees how to deal with ethically or legally problematic situations.

A complaint system ensures that employees and external third parties can report cases of damaging conduct, such as corruption, discrimination or sexual harassment. The compliance team can be contacted face-to-face, via a telephone hotline, the department's electronic mailbox or – in the case of anonymous reports – the whistleblower system. The relevant contact options are listed on the intranet and are thus published companywide. They are also available on the company's website and can thus be accessed by external persons concerned.

A Global Regulatory Affairs Committee – comprising representatives from Compliance, Regulatory Affairs, Quality, Product Development, Procurement, EHS, Corporate Sustainability and others – meets regularly, monitors new legislative initiatives on an interdepartmental basis and puts corresponding structures in place within the company.

205-2
Communications and Training about Anti-Corruption Policies and Procedures

During the period under review, 3,530 employees from 33 countries completed training for the Anti- Corruption Code and 3,592 employees from 32 countries completed training for the Code of Conduct. The hours spent on training amounted to 2,155 for the Code of Conduct and 2,118 for the Anti-Corruption Code. Compliance training course are currently available in German, English, French and Chinese.

205-3
Confirmed Incidents of Corruption and Actions Taken

Three suspected corruption cases were reported, two of which are currently under investigation, while the third is considered to be unsubstantiated.

206 Anti-Competitive Behavior

103
Management Approach
For information on our management approach regarding compliance, see 205.

206-1
Legal Actions for Anti-Competitive Behavior, Anti-Trust, and Monopoly Practices
No significant fines or non-monetary penalties resulting from violations of laws or regulations were imposed in the reporting year.

Environmental Standards

300

302 Energy

103
Management Approach

Ongoing climate change already poses a genuine threat to life on our planet. Therefore, halting climate change is a challenge for society as a whole. The heads of state and government of European Union member states agreed in December 2020 to reduce internal EU greenhouse gas emissions by at least 55% compared to 1990 levels by 2030. The European Green Deal also sets a target of EU-wide net zero greenhouse gases by 2050.

Measured in CO_2 equivalents, global greenhouse gas emissions amounted to some 50 billion metric tons in 2019. According to statistics provided by the World Health Organization, the health care sector accounted for four to five percent of this figure. With attributable emissions totaling some 450,000[1] metric tons of CO_2 equivalents in 2019, Sartorius makes up a share of about 0.025% of total emissions of the global health care sector and therefore only has a minor influence. Nonetheless, we see it as our duty to contribute to the attainment of climate targets and will make substantial efforts in this regard, both at our sites worldwide and in our value chain.

As a leading partner of the biopharmaceutical industry, we contribute to achieving the Sustainable Development Goal number three, "Good Health and Well-Being." In the future, we aim to continue growing strongly while substantially lowering our carbon footprint. In our opinion, it is therefore appropriate to focus on CO_2 emission intensity when formulating emissions targets as this indicator enables a comparison of the CO_2 emissions of various companies as well as with economic and international indicators and targets. Correspondingly, our new climate target is to reduce CO_2 emission intensity. For Sartorius, the CO_2 emission intensity – defined as the emissions volume in relation to revenue – stood at approx. 250 g/€[1] in the base year 2019.

We always seek to set targets that are not only ambitious, but that are also realistic and transparent. In respect of our CO_2 emission intensity, we aim to achieve an average reduction of approx. 10% per annum. As such, we are exceeding the ambitious levels of the European Union and the Science Based Targets initiative, which have set targets of approx. 8.5% and 7% respectively.

In order to achieve this reduction, we are focusing on avoiding emissions and on improving the efficiency of processes associated with relevant emissions. This includes emissions generated at our sites, emissions in the upstream and downstream value chain, and switching to emission-free energy sources wherever possible.

The offsetting of emissions, on the other hand, is currently not an area of emphasis, as we regard an actual reduction as more important.

Reducing greenhouse gas emissions is a challenge that can only be met through shared endeavors on the part of everyone involved in the value chain, paying due regard to existing interdependencies. When developing our climate targets, it was therefore important to us to create transparency in respect of existing interactions, make any necessary assumptions with care and communicate them openly.

To this end, we once again compiled a detailed breakdown of our carbon footprint as a basis for our targets in the year under review. For consistency reasons, this refined footprint is based on emission data from 2019, the basis year of our current climate strategy. Approximately 10% of the calculated total emissions of roughly 450,000 metric tons of CO_2 equivalents fall within Scopes 1 and 2, i.e. emissions generated directly within the

1 These are own or externally conducted modeling/estimates, which are not based on scientifically founded emission calculations.

company and emissions from purchased energy such as electricity and gas. The other 90% or so of emissions are generated in the upstream/downstream value chain, meaning that they are either mostly or partly within the sphere of influence of suppliers, transport contractors, and customers. Sartorius is able to influence just under half of these emissions, with the level of influence depending on the individual circumstances concerned.

For companies across all sectors, the calculation of Scope 3 emissions, in particular, is currently subject to fundamental uncertainties and dependent on a series of assumptions and estimates. Ever more accurate calculations by virtue of improved data quality represent a central plank of our approach. This relates not only to information on the carbon footprint of our suppliers, but also on the usage phase of our products and their life cycle end. To ensure comparability of data over time, the ongoing improvements in calculation accuracy may result in retrospective adjustments to reported figures.

302-1
Energy Consumption Within the Organization

Energy Consumption[1]

	2021	2020
Total energy consumption in MWh	**162,341**	**132,065**
Direct energy consumption in MWh	59,301	55,444
Electricity consumption from public grid in MWh	50,020	70,951
Certified green electricity in MWh	43,743	0
Others in MWh	9,277	5,670

1 Production sites acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. This includes the production sites in Bielefeld (Germany) and Freiburg (Germany). Sartorius Stedim Data Analytics (Sweden) is not counted, as it is an IT company that does not produce any goods.
2 There was a minor adjustment to the energy values for 2019 resulting from an incorrect allocation and calculation.

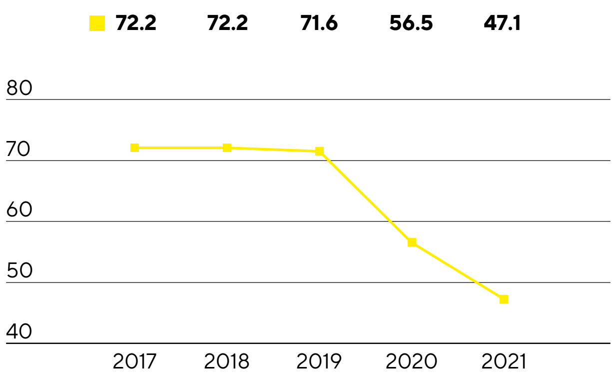
Energy Consumption by Energy Carrier[1]

	2021	2020
Total energy consumption in MWh	**162,340**	**132,065**
Fuel consumption from non-renewable sources in MWh	59,301	55,444
of which natural gas in MWh	52,464	51,322
of which liquified petroleum gas (LPG) in MWh	751	216
of which heating oil in MWh	1,129	1,179
of which diesel in MWh	4,957	2,726
Electricity consumption in MWh	94,542	71,656
of which conventional electricity from public grid in MWh	50,020	70,951
og which certified green electricity	43,743	0
of which solar power (self-generated) in MWh	779	705
Heating consumption in MWh	6,968	4,617
of which district heating in MWh	6,261	4,037
of which geothermal energy in MWh	707	580
Cooling consumption in MWh	1,530	348

1 Production sites acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. This includes the production sites in Bielefeld (Germany) and Freiburg (Germany). Sartorius Stedim Data Analytics (Sweden) is not counted, as it is an IT company that does not produce any goods.

302-3
Energy Intensity

Energy Intensity[1]
in proportion to annual sales, in MWh | € in millions



1 The energy intensity ratio is calculated by dividing the total energy consumption including fuel, electricity, heating and self-generated solar energy in MWh of production sites by annual sales in millions of euros. Production sites acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. This includes the production sites in Ajdovščina (Slovenia), Cergy (France), Fremont (USA), Hopkinton (USA), Marlborough (USA), Portsmouth (UK), Shanghai (China) and another production facility in Ann Arbor (USA). Sartorius Stedim Data Analytics (Sweden) is not counted, as it is an IT company that does not produce any goods.

303 Water and Effluents

103
Management Approach

Water is the number-one source of life and the basis for nutrition and a healthy life on earth. One of the central challenges of the 21st century is to provide a growing global population with permanent access to clean water in the volumes necessary to meet its basic needs and enable its social and economic development.

The demand for water will rise by approx. 55% by 2050, with more than two billion people already denied access to clean drinking water. By 2030, 700 million people may be forced to leave their homes due to a lack of water.

Some 19% of available water is required by industry. First and foremost, Sartorius uses water in membrane production and filter assembly.

Göttingen and Yauco are the production sites with the highest water consumption, as filter membranes are made there. Larger quantities of water are required, especially for production using the percipitation bath method. Both sites hold ISO 14001 certification. Environmental management covers energy and material consumption, emissions, use of space, waste and effluents. In order to further improve the management of water-related risks and opportunities, the plan is to supplement the ISO standard with an explicit water-related component (ISO 14002-2). Sartorius is happy to get to grips with the expected requirements and proposals in order to implement further effective water-related improvement measures.

Sartorius already attaches considerable importance to the efficient use of water as a resource, as reflected in numerous efficiency measures that are already implemented or planned. Membrane production, for example, largely takes place in closed loops. This means that the water and solvents used are repurified after use. At the main site in Göttingen, the water required for rinsing processes, in particular, is reduced by means of optimized process stages. At the Guxhagen site, a project for the circulation of test water is planned; as a result, it will be possible to store several cubic meters of water on a daily basis, with this water available for reuse.

Apart from optimizing water consumption, Sartorius is also working on the resource-saving sourcing of water. At the Yauco site, a network of roof cisterns collect rainwater that can be used for a variety of applications.

In 2022, Sartorius plans to set out a strategy and concrete targets in order to further optimize the use of water as a resource and therefore further reduce its consumption.

303-3
Water Withdrawal

Water Withdrawal1,2

	2021	2020
Total water withdrawal in Ml	**692.68**	**530.03**
Surface water in Ml	10.54	9.91
Groundwater in Ml	18.98	23.87
Third-party water in Ml	663.16	496.25

1 Production sites acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. This includes the production sites in Bielefeld (Germany) and Freiburg (Germany). Sartorius Stedim Data Analytics (Sweden) is not counted, as it is an IT company that does not produce any goods.
2 This indicator is reported for the first time in the non-financial consolidated statement. The underlying data for individual sites are estimates.

Water Withdrawal in Areas with Water Stress1, 2,3

	2021	2020
Total water withdrawal in Ml	**483.09**	**402.84**
Surface water in Ml	-	-
Groundwater in Ml	3.00	3.21
Third-party water in Ml	480.09	399.63

1 Production sites acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. This includes the production sites in Bielefeld (Germany) and Freiburg (Germany). Sartorius Stedim Data Analytics (Sweden) is not counted, as it is an IT company that does not produce any goods.
2 This indicator is reported for the first time in the non-financial consolidated statement. The underlying data for individual sites are estimates.
3 Water stress areas are assessed based on the World Resources Institute "Aqueduct Water Risk Atlas". We consider areas where water stress is classified as high (40-80%) or very high (>80%).

305 Emissions

103
Management Approach

Ongoing climate change already poses a genuine threat to life on our planet. Therefore, halting climate change is a challenge for society as a whole. The heads of state and government of European Union member states agreed in December 2020 to reduce internal EU greenhouse gas emissions by at least 55% compared to 1990 levels by 2030. The European Green Deal also sets a target of EU-wide net zero greenhouse gases by 2050.

Measured in CO_2 equivalents, global greenhouse gas emissions amounted to some 50 billion metric tons in 2019. According to statistics provided by the World Health Organization, the health care sector accounted for four to five percent of this figure. With attributable emissions totaling some 450,000[1] metric tons of CO_2 equivalents in 2019, Sartorius makes up a share of about 0.025% of total emissions of the global health care sector and therefore only has a minor influence. Nonetheless, we see it as our duty to contribute to the attainment of climate targets and will make substantial efforts in this regard, both at our sites worldwide and in our value chain.

As a leading partner of the biopharmaceutical industry, we contribute to achieving the Sustainable Development Goal number three, “Good Health and Well-Being.” In the future, we aim to continue growing strongly while substantially lowering our carbon footprint. In our opinion, it is therefore appropriate to focus on CO_2

emission intensity when formulating emissions targets as this indicator enables a comparison of the CO_2 emissions of various companies as well as with economic and international indicators and targets. Correspondingly, our new climate target is to reduce CO_2 emission intensity. For Sartorius, the CO_2 emission intensity – defined as the emissions volume in relation to revenue – stood at approx. 250 g/€[1] in the base year 2019.

We always seek to set targets that are not only ambitious, but that are also realistic and transparent. In respect of our CO_2 emission intensity, we aim to achieve an average reduction of approx. 10% per annum. As such, we are exceeding the ambitious levels of the European Union and the Science Based Targets initiative, which have set targets of approx. 8.5% and 7% respectively.

In order to achieve this reduction, we are focusing on avoiding emissions and on improving the efficiency of processes associated with relevant emissions. This includes emissions generated at our sites, emissions in the upstream and downstream value chain, and switching to emission-free energy sources wherever possible. The offsetting of emissions, on the other hand, is currently not an area of emphasis, as we regard an actual reduction as more important.

Reducing greenhouse gas emissions is a challenge that can only be met through shared endeavors on the part of everyone involved in the value chain, paying due regard to existing interdependencies. When developing our climate targets, it was therefore important to us to create transparency in respect of existing interactions, make any necessary assumptions with care and communicate them openly.

To this end, we once again compiled a detailed breakdown of our carbon footprint as a basis for our targets in the year under review. For consistency reasons, this refined footprint is based on emission data from 2019, the basis year of our current climate strategy. Approximately 10% of the calculated total emissions of roughly 450,000 metric tons of CO_2 equivalents fall within Scopes 1 and 2, i.e. emissions generated directly within the company and emissions from purchased energy such as electricity and gas. The other 90% or so of emissions are generated in the upstream/downstream value chain, meaning that they are either mostly or partly within the sphere of influence of suppliers, transport contractors, and customers. Sartorius is able to influence just under half of these emissions, with the level of influence depending on the individual circumstances concerned.

For companies across all sectors, the calculation of Scope 3 emissions, in particular, is currently subject to fundamental uncertainties and dependent on a series of assumptions and estimates. Ever more accurate calculations by virtue of improved data quality represent a central plank of our approach. This relates not only to information on the carbon footprint of our suppliers, but also on the usage phase of our products and their life cycle end. To ensure comparability of data over time, the ongoing improvements in calculation accuracy may result in retrospective adjustments to reported figures.

1 These are own or externally conducted modeling/estimates, which are not based on scientifically founded emission calculations.

Scopes 1 and 2

Emissions in Scope 1 are direct emissions. They result, for instance, from the use of fossil fuels to generate heat and power at our sites, from CO_2-equivalent process emissions (e.g. in membrane production) and from the use of company vehicles. Sartorius aims to virtually eliminate Scope 1 emissions from the use of fossil fuels by 2030. The corresponding measures include the large-scale electrification of heat/cool air generation, the use of gas from renewable sources, the gradual conversion of the vehicle fleet to electric vehicles and efficiency improvements in production, with a resulting drop in energy consumption. A small share of current Scope 1 emissions have to be classed as unavoidable. These process emissions, which are directly linked to essential product characteristics, especially in membrane production, cannot be avoided with technological advancement as it stands, although we already almost always operate closed solvent loops.

We plan to virtually eliminate Scope 2 emissions by 2030. These indirect emissions occur during the generation of purchased energy, particularly electricity. It is planned to meet this target by switching to emission-free energy from renewable sources wherever possible. This intended large-scale reduction of emissions is subject to the proviso of emission-free energy being available at our global sites. Sartorius will endeavor to champion the availability of zero-emission energy and support the relevant partners at the various sites with their provision.

For Scopes 1 and 2, Sartorius aims to achieve an average annual reduction in CO_2 emission intensity of approx. 20% in the period until 2030. This equates to the elimination of some 90% of the emission sources in Scopes 1 and 2 and – despite significant corporate growth – a 50% reduction in associated absolute emissions compared to 2019.

Scope 3

The analysis of Scope 3 emissions is complex and necessitates consideration of numerous interdependencies within the supply chain and requires assumptions to be made. Some 40% of emissions attributable to Sartorius occur in the upstream value chain, i.e. in connection with purchased goods/services and business travel. Some of the ways in which Sartorius is able to influence these emissions include the nature and volume of purchased materials and products, the choice of transport routes and modes of transport, and the number of business trips and their respective itineraries. Emissions can be reduced in the medium term through the selection of suppliers. Sartorius works to support suppliers in the development and implementation of sustainability systems that reduce the CO_2-equivalent emissions intensity in the upstream value chain.

The largest share of emissions attributable to Sartorius – roughly 50% – occurs in the downstream value chain; this includes, among other things, the transportation of our products to customers as part of the products' further use and their disposal at the end of their life cycles. Sartorius can help to lower these emissions, chiefly by means of optimized product and packaging design that improves the products' energy efficiency or facilitates their recycling. However, a large proportion of the emissions in Scope 3 can only be reduced by our customers and transport contractors or in partnership with these actors and/or through a switch to energy from emission-free sources throughout the entire value chain.

Overall, Sartorius aims to reduce Scope 3 emission intensity by about 10% on average per annum in the period until 2030.[1]

Costs of Reducing Emission Intensity

The Sartorius climate strategy is geared toward environmental targets, not economic ones. As such, we aim to use all available levers to reduce emissions, including those whose expected costs exceed current and anticipated CO_2 offset prices. In total, we expect the annual costs of reducing CO_2-equivalent emission intensity to amount to roughly 1% of Group revenue over time. On account of considerable differences in the costs of various measures, coupled with the expected dynamic development as regards the price and availability of certain technologies, materials and energy sources, it is currently not possible to be any more precise in respect of the development of these costs over time.

Relevance to Governance

Starting 2022, CO_2 intensity will be relevant to the governance of the Sartorius Group and will correspondingly form part of management remuneration.

Emissions and Targets

	Basis 2019[1]	Target 2030
Total GHG Emissions in t CO2eq	**56,897**	30,611
Total Scope 1 emissions in t CO_2eq	18,103	9,739
Total Scope 2 emissions in t CO_2eq	38,794	20,871

1 The emissions for the determination of the climate targets differ from the emissions reported in the table 'Greenhouse gases' for the year 2019, as the sales companies were included and other emission factors were used. We aim to include the emissions of the sales companies in the reporting within the framework of the non-financial group statement in the long term.

Sartorius has been recording greenhouse gas emissions in line with the Greenhouse Gas Protocol (GHG) global standard since 2013. Accordingly, in addition to the CO_2 emissions, we take account of all climate-relevant gases and report them in CO_2 equivalents (CO_2eq). Currently, we report direct climate-relevant emissions from our production sites (Scope 1). We also report indirect energy-related emissions resulting from power generation by external energy suppliers (Scope 2). Scope 1 emissions occur through consumption of direct energy sources, such as diesel, fuel oil, natural gas and LPG, and also through process emissions from solvents and refrigerants at our sites in Göttingen and Yauco.

The new CO_2 intensity reduction targets will be used in our planning from Q1 2022. Accordingly, we plan to report the corresponding reductions from the next annual report. We recorded Scope 3 emissions for the purpose of drawing up our new climate strategy. Standardized reporting is expected to follow in 2022.

Our German sites have been using hydroelectric power since the start of the financial year; our French sites have been using green electricity since midway through the year.

1 When devising this target, Sartorius not only took into account its own expected growth, but also that of customers, suppliers and transport contractors; it also made certain assumptions on the basis of the correspondingly successful emissions reduction and factored in the effect of a globally evolving energy mix. Specifically, our calculations are based on the assumption that the transport sector will, as required by law, reduce its emissions in absolute terms by 40% by 2030, compared to the 2019 level. In respect of our customers in the biopharmaceutical industry, we anticipate an absolute emissions reduction of approx. 50% based on their communicated targets; for suppliers, we calculate this figure at approx. 20%. Furthermore, we have made conservative growth assumptions of some 3% per annum for suppliers, and some 5% per annum for our customers in the biopharmaceutical industry.

305-1 and 305-2
Direct (Scope 1) and Indirect (Scope 2) GHG Emissions

Greenhouse Gases[1]

	2021	2020
Total GHG emissions in t CO_2eq[2,3]	**42,506**	**43,156**
Total Scope 1 emissions in t CO_2eq[4]	19,147	15,277
Total Scope 2 emissions in t CO_2eq[5]	23,359	27,880

1 Production sites acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. This includes the production sites in Bielefeld (Germany) and Freiburg (Germany). Sartorius Stedim Data Analytics (Sweden) is not counted, as it is an IT company that does not produce any goods.
2 Emissions in t CO_2eq were calculated using thinkstep's SoFi software. Emission factors from GaBi, Defra and VfU were used for this.
3 Companies are integrated into the environmental report for emissions in accordance with the financial control consolidation approach.
4 Excluding fuel consumption for car fleet.
5 Only location-based factors are used to calculate Scope 2 emissions.

305-3
Other Indirect (Scope 3) GHG Emissions

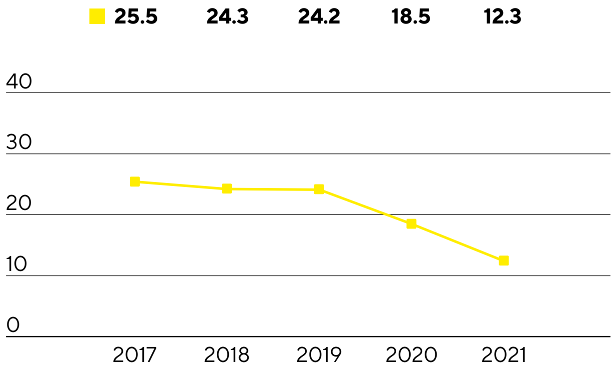
Sartorius has been recording Scope 3 emissions since the reporting year 2019. In the coming years, we will improve activity data to capture emissions for relevant missing categories.

Scope 3 Emissions

	2021	2020
Total scope 3 emissions in t CO_2eq	**-**	298,141
Emissions from purchased goods and services in t CO_2eq	-	162,806
Emissions from capital goods in t CO_2eq	-	24,524
Emissions from fuel-and-energy-related activities (not included in Scope 1 or 2) in t CO_2eq	-	6,044
Emissions from upstream transportation and distribution in t CO_2eq	-	80,197
Emissions from waste generated in operations in t CO_2eq	-	7,842
Emissions from business travel in t CO_2eq	-	2,874
Emissions from employee commuting in t CO_2eq	-	13,855

305-4
GHG Emissions Intensity

Development of Climate-Relevant Emissions[1]
in proportion to annual sales, in t | € in millions



1 The GHG emissions intensity ratio is calculated by dividing direct and energy indirect GHG emissions in tons of CO_2eq of production sites by annual sales in millions of euros. Production sites acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. This includes the production sites in Ajdovščina (Slovenia), Cergy (France), Fremont (USA), Hopkinton (USA), Marlborough (USA), Portsmouth (UK), Shanghai (China) and another production facility in Ann Arbor (USA). Sartorius Stedim Data Analytics (Sweden) is not counted, as it is an IT company that does not produce any goods.

306 Waste

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Management Approach

All kinds waste are generated at any company. This applies particularly to manufacturing companies. The disposal of operating waste is governed by law and handled differently from country to country. As the handling of hazardous and nonhazardous waste has a considerable influence on its release into air, water and soil – and therefore a direct impact on human health and the environment – well-conceived waste management is a high priority.

On top of waste such as plastic, paper and metal, Sartorius' operations – especially in relation to membrane production in Göttingen and Puerto Rico – also generate hazardous waste. In some cases, contaminated waste is produced in the downstream value chain, i.e. the use of our products by customers and users. This applies in particular to the deployment of our products in biopharmaceutical manufacturing processes.

In respect of waste management, Sartorius works on continuous improvement through a five-step approach to the waste hierarchy. The aim is to conserve resources, avoid pollution and reduce emissions. Two areas of focus for Sartorius are initiatives on waste prevention and recycling.

Sartorius works on waste prevention by improving production processes, e.g. by reducing production waste. This pertains especially to bag, membrane and candle production. Hazardous waste is mainly generated through the use of solvents in membrane production. While our production processes already largely operate on a closed-loop basis, we nonetheless see opportunities to further reduce hazardous waste in relation to the volumes produced.

Recycling represents a further key component of our waste management. In Aubagne, we mechanically recycle production waste on-site. This material can then be used for new applications by different companies. In the context of laboratory scale production in Göttingen, for instance, aluminum shavings are pressed into pellets, enabling them to be deployed elsewhere. By signing the European Plastics Pact, Sartorius has entered into a voluntary commitment to recycle more plastic waste. In order to live up to this aim, plastic waste is separated by type and sent for recycling, particularly at the Göttingen and Guxhagen sites. In 2021, a total of 91 metric tons was recycled.

We are also fine-tuning the design of our products and packaging in order to minimize waste in the downstream value chain. In addition to product dimensions and the choice of materials, the main focus here is to simplify waste sorting and the interchangeability of system components. As the majority of products are contaminated following their use within the biopharmaceutical process, the requirements in terms of recycling are high. Sartorius is actively working on the continued development of advanced recycling methods and the composition of product materials, the aim being to keep these to a minimum and facilitate recycling for customers. Partnerships with customers and disposal contractors are essential in this regard if feasible solutions are to be found and implemented.

To enable all remaining waste – including waste from administrative units – to be properly separated and disposed of, Sartorius has also introduced a color-coded waste separation system in a pilot project in Göttingen.

306-3
Waste Generated

Waste Generated by Composition[1]

	2021	2020
Total waste in t	10,526	7,681
Non-hazardous waste in t	7,291	5,137
Residual waste in t	2,259	1,877
Plastic waste in t	2,087	1,309
Paper and cardboard in t	1,614	1,016
Waste wood in t	864	397
Metal waste in t	375	281
Mixed recyclable materials in t	55	226
Electrical and electronic waste in t	37	31
Hazardous waste in t	3,235	2,544

1 Production sites acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. This includes the production sites in Bielefeld (Germany) and Freiburg (Germany). Sartorius Stedim Data Analytics (Sweden) is not counted, as it is an IT company that does not produce any goods.
2 This indicator is reported for the first time in the non-financial consolidated statement. The underlying data for individual sites are estimated values

306-4
Waste Diverted From Disposal

Waste Diverted From Disposal by Composition[1]

	2021	2020
Total waste in t	4,974	3,040
Non-hazardous waste in t	4,447	2,757
Residual waste in t	27	0
Plastic waste in t	1,555	856
Paper and cardboard in t	1,614	1,016
Waste wood in t	839	346
Metal waste in t	375	281
Mixed recyclable materials in t	-	226
Electrical and electronic waste in t	37	31
Hazardous waste in t	527	283

1 Production sites acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. This includes the production sites in Bielefeld (Germany) and Freiburg (Germany). Sartorius Stedim Data Analytics (Sweden) is not counted, as it is an IT company that does not produce any goods.

306-5
Waste Directed to Disposal

Waste Directed to Disposal by Composition[1]

	2021	2020
Total waste in t	5,552	4,641
Non-hazardous waste in t	2,844	2,380
Residual waste in t	2,232	1,877
Plastic waste in t	532	453
Paper and cardboard in t	-	0
Waste wood in t	25	50
Metal waste in t	-	-
Mixed recyclable materials in t	55	0
Electrical and electronic waste in t	0	0
Hazardous waste in t	2,708	2,261

1 Production sites acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. This includes the production sites in Bielefeld (Germany) and Freiburg (Germany). Sartorius Stedim Data Analytics (Sweden) is not counted, as it is an IT company that does not produce any goods.

Hazardous Waste Directed to Disposal by Disposal Operation[1]

	2021	2020
Total waste in t	2,707	2,261
Incineration (with energy recovery) in t	1,443	960
Incineration (without energy recovery) in t	1,048	824
Landfilling in t[2]	1	3
Other disposal operations in t	215	475

1 Production sites acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. This includes the production sites in Bielefeld (Germany) and Freiburg (Germany). Sartorius Stedim Data Analytics (Sweden) is not counted, as it is an IT company that does not produce any goods.
2 This is largely hazardous waste from a German plant that is rendered harmless by bacterial treatment and reused.

Non-Hazardous Waste Directed to Disposal by Disposal Operation[1]

	2021	2020
Total waste in t	2,203	2,380
Incineration (with energy recovery) in t	886	334
Incineration (without energy recovery) in t	95	596
Landfilling in t	8	1,001
Other disposal operations in t	1,214	450

1 Production sites acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. This includes the production sites in Bielefeld (Germany) and Freiburg (Germany). Sartorius Stedim Data Analytics (Sweden) is not counted, as it is an IT company that does not produce any goods.

307 Environmental Compliance

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Management Approach

We regard compliance with applicable laws as self-evident. Beyond this, we have set ourselves the standard of managing our company with integrity.

We are committed to upholding internationally recognized human and labor rights as a basis of our worldwide business operations. A significant task in this regard is to create a common understanding of fair working conditions – at all our sites and in the supply chain.

Sartorius conducts its business in compliance with globally accepted ethical standards and applicable national legal requirements. The German Corporate Governance Code defines requirements for management boards and supervisory boards including their interaction with regard to transparency, accounting and auditing and the conduct of annual general meetings. Legal Affairs & Compliance reports to the CEO and informs the Supervisory Board and the Audit Committee. Sartorius follows the rules and recommendations of the German Corporate Governance Code in its current version of December 16, 2019, with the exceptions stipulated in the current Declaration of Compliance.

We intend to ensure that our Supervisory and Executive Board members, management and employees comply with all legal regulations and codes, and act according to our internal guidelines. The Legal Affairs & Compliance department is responsible for legal consulting, internal auditing, data protection, anti-corruption, customs and export control.

A dedicated team has the task of implementing and enforcing all Group compliance topics. The Sartorius Code of Conduct defines the requirements we place on our employees with respect to responsible conduct.

The code helps employees act ethically and in accordance with the law in their daily work. In everything they do, employees are required to ask themselves the following questions: Are my actions legal? Does my conduct correspond to our values and guidelines? Is it free of personal interests (that are not covered by labor-law regulations)? Will it stand up to public scrutiny? The Code of Conduct covers compliance with international social and environmental standards, general rules of conduct and dealing with conflicts of interest.

The Anti-Corruption Code forms the basis for raising employee awareness about corruption risks. It is also a guideline, instruction manual and aid in taking the necessary action to both prevent and fight corruption at specific companies or in specific sectors. An anti-corruption officer has been appointed by Group management as a contact person for corruption prevention. This officer pursues his or her duties independently.

We ensure that our employees are familiar with the Anti-Corruption Code and the Code of Conduct by asking all employees worldwide every year to take part in an online training course and complete a test at the end of it. The course teaches employees how to deal with ethically or legally problematic situations.

A complaint system ensures that employees and external third parties can report cases of damaging conduct, such as corruption, discrimination or sexual harassment. The compliance team can be contacted face-to-face, via a telephone hotline, the department's electronic mailbox or – in the case of anonymous reports – the whistleblower system. The relevant contact options are listed on the intranet and are thus published company-wide. They are also available on the company's website and can thus be accessed by external persons concerned.

A Global Regulatory Affairs Committee – comprising representatives from Compliance, Regulatory Affairs, Quality, Product Development, Procurement, EHS, Corporate Sustainability and others – meets regularly, monitors new legislative initiatives on an interdepartmental basis and puts corresponding structures in place within the company.

During the period under review, 9,341 employees from 35 countries completed training on the Anti-Corruption Code and 9,143 employees from 35 countries completed training on the Code of Conduct. The hours spent on training amounted to 4,571 for the Code of Conduct and 4,670 for the Anti-Corruption Code. Compliance training courses are currently available in German, English, French and Chinese.

No significant fines or non-monetary penalties resulting from violations of laws or regulations were imposed in the reporting year. Two suspected cases of corruption were reported, one of which is still being investigated and one of which has already been deemed unsubstantiated/unproven.

Two suspected cases of discrimination were reported during the period under review. No cases of discrimination were determined during the reporting period.

308 Supplier Environmental Assessment

103
Management Approach

Respect for human rights, the maintenance of high environmental standards and good, safe and fair working conditions for the production of our products is important to us, and apply to sites outside our own production as well. With more than 8,000 suppliers in more than 40 countries and a purchasing volume that corresponds to about 40% of our sales revenue[1], it is obvious that our upstream supply chain is important for us to implement these goals.

The assumption of responsibility in global supply chains is also governed by a growing number of laws and requirements. In particular, the German Act on Corporate Due Diligence in Supply Chains, which was passed by the German parliament in July 2021, seeks to improve the international human rights situation by setting out requirements for the responsible management of supply chains. This Act comes into effect for German-based companies with more than 3,000 employees on January 1, 2023.

Moreover, the value chains for pharmaceuticals are very sensitive and are the focus of many stakeholders. In particular, patients at the end of the supply chain are dependent on their medications being available and safe at all times.

Since January 2020, we have been verifying suppliers' compliance with our sustainability requirements via an external evidence-based ESG assessment, as well as in-house ESG quick checks. In the year under review, we have been working to set up a comprehensive risk management system and design new processes in order to be able to meet and document the requirements of the new Supply Chain Act in the near future, but by no later than 2023.

Our Code of Conduct for Business Partners provides the basis for collaboration with our business partners throughout the Group. Our requirements with regard to the environment, social matters and governance are defined in the Code. Since December 2019, acknowledgment of the Code of Conduct is part of the acceptance process for new suppliers. In 2020, we began systematically reviewing whether our existing suppliers have acknowledged the Code and, if not, asking them to do so.

For suppliers who are very relevant for our business processes and/or a high purchasing volume, we work together with the external sustainability assessment platform EcoVadis. The external ESG assessment is based on a self-assessment, a review of the associated documents and information from external sources. EcoVadis reviews 21 indicators in the areas of environment, labor and human rights, ethics and sustainable procurement.

Beginning in 2021, Sartorius quality auditors systematically conducted ESG quick checks within the scope of all planned quality audits in the suppliers' production plants. For this purpose, Sartorius put its sustainability requirements into a questionnaire. This will be provided to suppliers before the audit. During on-site auditing of suppliers' production plants, compliance with the requirements of our Code of Conduct for Business Partners is reviewed on the basis of the questionnaire.

The objective of all measures is to initiate actual improvements in the working, social and environmental standards of our suppliers. Sartorius Management is involved in shaping the process via the Corporate Sustainability Steering Committee and is informed about the progress being made.

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1 Sales and purchasing volume in 2021.

We do not establish business relationships with suppliers where we see a considerable risk of child, forced or mandatory labor, other breaches of human rights or negative impacts on society, and will end any existing relationships with such suppliers. This procedure is also defined in our new process for sustainability in the supply chain.

During the Covid-19 pandemic, we are focusing on securing our delivery capabilities. This is very important considering the validated production processes of our customers. This is why we manage stocks of raw materials and finished products actively and maintain high levels of safety stock.

308-2
Negative Environmental Impacts in the Supply Chain and Actions Taken

In 2021, we received 110 valid sustainability assessments on our suppliers from EcoVadis, with 165 further assessments currently being prepared. The current evaluations cover roughly a third of our purchasing volume. In 2021, we spoke to suppliers who refused an EcoVadis assessment or whose assessment has expired.

The ESG quick checks performed by Sartorius itself as part of quality audits were still conducted in the year under review despite the coronavirus pandemic, albeit to a reduced extent, with 107 such quick checks completed as of the end of the reporting year.

We will use the results of the EcoVadis assessments and the ESG quick checks to develop our internal process in 2022.

Product Stewardship

Why it's important

Environmental responsibility concerns not just our value creation; it has an impact on our products, too.

Sartorius generates almost two thirds of its sales revenue with sterile products that are used in biopharmaceutical research, where they ensure the safety and efficiency of the processes. While filters are cellulose-based, filter housings, bags and pipette tips are made from polymers. Although biopharmaceutical disposable technology makes up just 0.01% of the annual volume of plastic waste, the continuous market growth increasingly raises the issue of responsible handling of materials in this industry too.

Basically, the production and sale of consumables prompts questions about the product end of life. Increasing customer demands and stricter statutory regulations have also resulted in aspects of the circular economy becoming more important.

The processes involved in manufacturing polymers from crude oil, as well as recycling processes, are also energy-intensive. We therefore regard all product responsibility considerations as being closely linked with our climate strategy.

Our approach

The fact that sterile products are used in the bioprocess represents a crucial ecological benefit, as energy- and water-intensive cleaning processes between production batches are no longer required. As flexible production units take up less space, less energy is also required for the air conditioning units required in the clean room. As a result, the ecological footprint of disposable components is often better than that of reusable stainless steel components. We intend to further optimize the footprint of our products by enhancing the selection and use of materials throughout the value chain. Materials that are designed to be recycled and material flows will play an important role in this regard.

By developing an initiative to reduce plastic use, we are seeking to address the entire value chain: the design of our products and packaging, the associated purchasing of plastic, the plastic waste generated during our own operations and the treatment of our products and packaging at the end of their life cycles.

When developing our products, their functionality and quality are our top priority. Although the use of recycled material in medical products is currently not possible due to quality reasons, it is, for instance, possible to influence the quantity of new plastic used through the design of product dimensions. There is more scope in terms of material selection and dimensions when it comes to packaging design.

Design can also be used to influence the handling of contaminated and non-contaminated products when they reach the end of their life cycle. Alongside the choice of materials, another priority is to simplify sorting and, where applicable, the products' return to suitable recycling methods. It is important to bear in mind that this step lies within the sphere of responsibility of our customers and their competent recycling agencies, meaning that success can only be achieved through cooperation and joint efforts.

In our in-house production, we focus chiefly on reducing waste and rejects, as well as on the improved sorting of plastic waste and therefore on its improved return to recycling systems.

However, sustainability in biotechnological production is not just concerned with the use and recycling of plastics, but also takes into account the efficiency and productivity of processes. For example, technological innovations enable process optimizations in the production of larger volumes of active pharmaceutical ingredients. Sartorius continuously develops its products with this in mind and helps its customers design their production processes in a more sustainable manner. Sartorius deals intensively with the issue of how its customers can produce more sustainably by modifying the process parameters. For this purpose, Sartorius is involved in the National Institute for Innovation in Manufacturing Biopharmaceuticals (NIMBL) and other bodies.

Our performance

The Sartorius plastic reduction initiative was agreed at the end of October 2020. In the year under review, work was carried out to integrate the targets set within operational divisions. Various projects focused on the reduction of packaging waste, the recycling of production waste and end-of-life-cycle strategies were continued, with new projects initiated.

Sartorius uses ultra-pure plastic film to produce disposable bags for use in bioprocesses. Two of our three film families are suitable for mechanical recycling. At the Aubagne site, waste material produced during bag production is collected, shredded and recycled with the help of external partners.

Social Standards

400

401 Employment

103
Management Approach

Sartorius is growing strongly. We continually gain talented and well-qualified employees and build their loyalty to ensure the success of the company in the future as well. In the process, one particular challenge all over the world is to recruit experienced specialists for the company. Currently, 13,832[1] employees contribute to Sartorius' success. Continuing professional development, assumption of responsibility and opportunities to advance within the company are important for our employees' satisfaction. These competences safeguard their employability and open up new professional prospects for them.

As a globally operating company, we do business in many different regions and markets. Sartorius employees from 110 countries work together. The interplay of a variety of perspectives and experiences helps us understand our customers better, develop tailored solutions and remain competitive in a global economy. We believe that a working environment of mutual trust, appreciation and respect brings the best work results and increases our employees' motivation and creativity as well as their loyalty.

To acquire personnel, our approach is to focus on the things that are important for existing and potential employees and make them known throughout the world. According to our analysis, all of them are factors that are likely to create trust in the future: the company's brand leadership, its sales growth and margin development, its internationality and innovation activities and – last but not least – the individual's opportunities for development within the company. A meaningful mission and the perceptible assumption of social responsibility are also important for many job applicants.

Sartorius has hired 4,381 new employees since January 2021. On account of rapid growth, the previous onboarding process was optimized in order to induct new employees quickly and efficiently. Effective onboarding is designed to ensure that new employees quickly feel included within the Sartorius team so that they can make a positive contribution from day one.

We strive to offer our employees good working conditions to encourage them to apply their skills in the best possible manner. The approaches that we pursue throughout the Group are defined in our policy on work practices and social standards. To improve the accuracy of its measures to create good working conditions, Sartorius conducts two global employee surveys each year. Known as "Pulse Checks," these surveys are conducted each spring and each fall, addressing a range of topics such as employees' perception of the corporate and leadership culture, of their own workplace and work satisfaction in general. All employees are asked to suggest improvements. By virtue of this regular and systematic feedback on leadership culture and working conditions, executives and the HR department can respond swiftly and initiate any necessary improvement measures. We believe there is considerable potential in discussing the results within individual teams and jointly devising suggested improvements.

Annual performance reviews between employees and their managers also provide a forum for discussing performance, targets and individual development opportunities. In the year under review, the performance development process was conducted digitally with the support of the system. This approach improves the consistency and transparency of the process in terms of setting and agreeing expectations for each HR development cycle; it also makes it possible to agree individual development plans for employees that foster their continued development.

1 The following employee figures include all employees of the Sartorius Group except for apprentices, interns, permanent absent employees and employees in the leave-of-absence phase of partial retirement. Numbers are reported as head counts.

Our employees should be able to develop personally and professionally throughout their professional lives. We firmly believe that all employees have their own talents and that they can contribute these talents in a variety of useful ways. We have therefore expanded our learning opportunities to include digital self-study offerings accessible to all employees and have added online seminars to the portfolio in order to be able to offer a broader selection of content.

In our view, ensuring effective leadership at all levels of the organization is central to supporting our further growth ambitions. In 2021, we focused on top-level employees and executives and will further expand the scope in 2022.

To create the same opportunities for people regardless of their life situations, we have installed a flexible work scheduling model at many of our companies. Employees are often able to take advantage of flextime, part-time and teleworking options.

In addition to flexible work schedules, our response to the need for work-life balance includes child care opportunities in Göttingen. Here, for example, there are offers for children during school vacations, and a day care center is available close to the company on the Sartorius Campus. As an inclusive day care center, it is also open to children with disabilities. It's part of our corporate culture that fathers also take family leave at Sartorius.

Measures that promote equal opportunity in our company include the creation of transparency on salary structures. The majority of salaries at the German companies are linked to the rates agreed with the IG Metall trade union, with some paid in accordance with rates established for IG Bergbau, Chemie, Energie. The remuneration paid to employees in France and Austria is also based on trade union rates. Using the union rates makes our remuneration more transparent.

Works councils or other legally mandated bodies represent the interests of the workforce. In Germany, there is also a Group works council comprising members of the local works councils at all operating companies.

401-1
New Employee Hires and Employee Turnover

Over the past five years, Sartorius has recruited 10.447 new employees. The number of new hires increased by 4.381 compared to the previous year.

New Hires by Region, Gender and Age Group[1, 2]

	EMEA	Americas	Asia | Pacific	Total
Female	1,043	524	250	1,817
≤ 29 years	558	226	107	891
30 – 49 years	416	219	142	777
≥ 50 years	69	79	1	149
Male	1,564	616	384	2,564
≤ 29 years	687	266	156	1,109
30 – 49 years	758	263	222	1,243
≥ 50 years	119	87	6	212
Total	2,607	1,140	634	4,381

1 Reports for 2021.
2 Employee figures are shown as headcount.

The success of our measures to create a positive working environment is reflected in permanently low attrition rates. Excluding expired fixed-term contracts, Sartorius had an attrition rate of 8.4% in the reporting year, or 1.3 percentage points above the already low level of the prior year.

As a result of the consistently high number of new hires, the average seniority decreased slightly. In 2021, about 60% of all employees had been with Sartorius for fewer than five years, while around a seventh had been with the company for 15 years or more.[1]

Employee Turnover by Region, Gender and Age Group[1, 2, 3, 4]

	EMEA	Americas	Asia | Pacific	Total
Female	321	116	87	524
≤ 29 years	158	28	32	218
30 – 49 years	109	53	52	214
≥ 50 years	54	35	3	92
Male	371	126	145	642
≤ 29 years	142	17	32	191
30 – 49 years	148	64	105	317
≥ 50 years	81	45	8	134
Total	692	242	232	1,166

1 Reports for 2021.
2 Employee figures are shown as headcount.
3 Companies acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. Companies that were consolidated last year report fully this year.
4 Excluding expiring fixed-term contracts.

Due to the significance for the development of the company, the number of employees at Sartorius is very relevant and is reported regularly by management. More information about "Employees" can be found in the Group Management Report on page 48.

401-2
Benefits Provided to Full-Time Employees That Are Not Provided to Temporary or Part-Time Employees

The voluntary benefits we offer our employees varies from site to site. In addition, there are differences between the sites as to whether the benefits are offered to full-time employees only or to all employees. Therefore, we will omit presenting the benefits offered.

1 Companies acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. Companies that were consolidated last year report fully this year.

401-3
Parental Leave

Employees That Took Parental Leave by Gender and Region[1, 2, 3]

	Female	Male	Total
EMEA	263	208	471
Americas	31	27	58
Asia | Pacific	18	25	43
Total	312	260	572

1 Reports for 2021.
2 Employee figures are shown as headcount.
3 Companies acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. Companies that were consolidated last year report fully this year.

Employees That Returned to Work in the Reporting Period After Parental Leave Ended by Gender and Region [1, 2, 3]

	Female	Male	Total
EMEA	227	199	426
Americas	24	17	41
Asia | Pacific	17	25	42
Total	268	241	509

1 Reports for 2021.
2 Employee figures are shown as headcount.
3 Companies acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. Companies that were consolidated last year report fully this year.

Employees That Returned to Work After Parental Leave Ended That Were Still Employed 12 Months After Their Return to Work by Gender and Region[1, 2, 3]

	Female	Male	Total
EMEA	96	117	213
Americas	9	16	25
Asia | Pacific	24	25	49
Total	129	158	287

1 Reports for 2021.
2 Employee figures are shown as headcount.
3 Companies acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. Companies that were consolidated last year report fully this year.

403 Occupational Health and Safety

103
Management Approach

Our employees' safety is our responsibility. The health of our employees is also important to us as a company, which is why we offer support in the form of a variety of preventative health care offers.

As in the previous year, the reporting year was shaped by the Covid-19 pandemic, which created particular demands on the organization of workplace health and safety. The existence of a solid occupational safety organization proved to be a substantial benefit in overcoming the resulting challenges.

Sartorius has high safety standards to minimize job-related medical conditions, risks to health, and potential causes of industrial accidents. The basic principles and core policies on occupational safety and health protection are defined throughout the Sartorius Group in its corporate policy on workplace safety and health. Occupational safety and the preservation and promotion of the good health of all employees are very important to Sartorius, and management actively encourages them.

Planned, mandatory employee training on topics of occupational health and safety and environmental protection ensure that our staff members recognize risks and avoid them accordingly. Sartorius analyzes all accidents regularly and derives accident prevention measures from them that can also be used for other sites. At our local Group locations, work safety committees confer regularly to discuss measures that promote health and prevent work-related accidents, and inform management of the results of their analysis.

At the Aubagne site, for instance, a cross-unit team works to improve occupational safety and reduce work-related accidents. Since employee behavior plays a key role in many of the work-related accidents, in addition to making technical improvements the team plans to raise awareness with regard to safety among employees. More than 1,000 employees – most of them from areas with a higher risk potential – have already taken part in training sessions since the new workshops to raise safety awareness were initiated in 2020. In addition, first aiders took part in a full-day training course to minimize risks. Workshops are offered especially to managers to prepare them so that they can improve safety management in their teams.

The Group's corporate health management policy addresses both the physical and psycho-social elements of health to enhance employee performance and motivation, ensure their employability and reduce illness-related costs. Most sites have an in-house medical service. In addition, an external provider is on hand to offer psychological help on any work-related and indeed personal matter. Staff can reach the service via a hotline.

One of our two companies in Beijing, one of our companies in Shanghai and one of our two companies in Bengaluru are certified in accordance with ISO 45001.

Employees from external companies also work for Sartorius, for example, cleaning staff and construction companies. Their safety is also important to us. This is why contractors' employees receive occupational safety instructions before they begin their work. These instructions specifically mention how incidents and accidents can be reported.

During the Covid-19 pandemic, two considerations especially shaped our actions: first, protecting the health of our more than 13,000 employees. Second, maintaining our business operations, on the one hand, to be able to support our customers and, on the other, to ensure our own financial stability. In view of the fact that many of our customers are involved in the development and production of vaccines against the coronavirus, Sartorius has a special social responsibility. It is therefore not an option to reduce personnel in production in order to improve infection protection or to shut down parts of our operations. On the contrary, production was actually expanded.

Our well-established occupational safety processes put us in a position where we could respond quickly and extensively to these special challenges during the Covid-19 pandemic. A crisis team comprising members from different units and the Executive Board works on a corporate level to monitor and assess the situation constantly and introduce appropriate measures if necessary. Several teams also work on a local level.

To protect employees, social distancing rules were put in place at a very early stage and business trips were almost completely stopped. Face masks and visors are provided at the sites.

In conjunction with local vaccination centers, Sartorius has already administered more than 7,000 coronavirus vaccinations.

Sartorius already received awards at several sites for its safety concept during the Covid-19 pandemic in 2020. Sartorius was the first company in Tunisia to get the Apave Certification Safe & Clean Label for its actions to protect the health and safety of its employees during the pandemic. The site in Bangalore was also commended for its safety concept: the Confederation of Indian Industries (CII) awarded 'Gold' for the measures.

403-9
Work-Related Injuries

In comparison to the previous year, the number of recordable work-related injuries increased marginally. Given the significant increase in the number of hours worked, this represents a positive development that is also reflected in the relative frequency of work-related injuries, which fell. Due to the pandemic, employees mostly worked from home. However, work in production and logistics increased during the reporting year. There were no accidents with fatalities or other serious outcomes at any of our sites.

Work-Related Injuries[1, 2, 3]

	2021	2020
Recordable work-related injuries (employees)	151	145
Relative frequency of work-related injuries per 1,000,000 theoretical working hours (employees)	6.3	8.2
Work-related injuries with a serious outcome[3]	0	0
Fatal occupational accidents	0	0

1 Companies acquired during the year are not included and, in accordance with the reporting guideline, will not be reported until the next reporting year. The two sales companies in the Netherlands are not counted.
2 The following employee figures include all employees of the Sartorius Group except for apprentices, interns, permanent absent employees and employees in partial retirement. Employee figures are shown as headcount.
3 An accident with a serious outcome is an accident in which the injured person is not rehabilitated at all or not until six months after the accident.

404 Training and Education

103
Management Approach

Currently, 13,8321 employees contribute to Sartorius' success. Continuing professional development, assumption of responsibility and opportunities to advance within the company are important for our employees' satisfaction. These competences safeguard their employability and open up new professional prospects for them.

As a globally operating company, we do business in many different regions and markets. Sartorius employees from 110 countries work together. The interplay of a variety of perspectives and experiences helps us understand our customers better, develop tailored solutions and remain competitive in a global economy. We believe that a working environment of mutual trust, appreciation and respect brings the best work results and increases our employees' motivation and creativity as well as their loyalty.

Sartorius has hired 4,381 new employees since January 2021. On account of rapid growth, the previous onboarding process was optimized in order to induct new employees quickly and efficiently. Effective onboarding is designed to ensure that new employees quickly feel included within the Sartorius team so that they can make a positive contribution from day one.

We strive to offer our employees good working conditions to encourage them to apply their skills in the best possible manner. The approaches that we pursue throughout the Group are defined in our policy on work practices and social standards. To improve the accuracy of its measures to create good working conditions, Sartorius conducts two global employee surveys each year. Known as "Pulse Checks," these surveys are conducted each spring and each fall, addressing a range of topics such as employees' perception of the corporate and leadership culture, of their own workplace and work satisfaction in general. All employees are asked to suggest improvements. By virtue of this regular and systematic feedback on leadership culture and working conditions, executives and the HR department can respond swiftly and initiate any necessary improvement measures. We believe there is considerable potential in discussing the results within individual teams and jointly devising suggested improvements.

Annual performance reviews between employees and their managers also provide a forum for discussing performance, targets and individual development opportunities. In the year under review, the performance development process was conducted digitally with the support of the system. This approach improves the consistency and transparency of the process in terms of setting and agreeing expectations for each HR development cycle; it also makes it possible to agree individual development plans for employees that foster their continued development.

Our employees should be able to develop personally and professionally throughout their professional lives. We firmly believe that all employees have their own talents and that they can contribute these talents in a variety of useful ways. We have therefore expanded our learning opportunities to include digital self-study offerings accessible to all employees and have added online seminars to the portfolio in order to be able to offer a broader selection of content.

In our view, ensuring effective leadership at all levels of the organization is central to supporting our further growth ambitions. In 2021, we focused on top-level employees and executives and will further expand the scope in 2022.

To create the same opportunities for people regardless of their life situations, we have installed a flexible work scheduling model at many of our companies. Employees are often able to take advantage of flextime, part-time and teleworking options.

In addition to flexible work schedules, our response to the need for work-life balance includes child care opportunities in Göttingen. Here, for example, there are offers for children during school vacations, and a day care center is available close to the company on the Sartorius Campus. As an inclusive day care center, it is also open to children with disabilities. It's part of our corporate culture that fathers also take family leave at Sartorius.

Measures that promote equal opportunity in our company include the creation of transparency on salary structures. The majority of salaries at the German companies are linked to the rates agreed with the IG Metall trade union, with some paid in accordance with rates established for IG Bergbau, Chemie, Energie. The remuneration paid to employees in France and Austria is also based on trade union rates. Using the union rates makes our remuneration more transparent.

Works councils or other legally mandated bodies represent the interests of the workforce. In Germany, there is also a Group works council comprising members of the local works councils at all operating companies.

404-1
Average Hours of Training per Year per Employee

To us, education is a valuable asset, and we consider it part of our corporate responsibility to support it and make it accessible within our sphere of influence.

During the reporting year, 167,600 hours were invested in training measures – on average 12.2 training hours per employee.

Training Hours by Region and Gender[1, 2]

	EMEA	Americas	Asia | Pacific	Total
Women	11.4	13.7	16.0	12.5
Men	11.3	13.7	13.2	12.1
Total	11.3	13.7	14.2	12.2

1 Reports for 2021.
2 Companies acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. Companies that were consolidated last year report fully this year.

404-3
Percentage of Employees Receiving Regular Performance and Career Development Reviews

Percentage of Employees who Received a Performance Review, by Gender[1, 2]

	2021	2020
Female	-	32%
Male	-	29%
Total	-	30%

1 Employee figures are shown as headcount.
2 Companies acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. Companies that were consolidated last year report fully this year.

405 Diversity and Equal Opportunity

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Management Approach

As a globally operating company, we do business in many different regions and markets. Sartorius employees cooperate across six continents in performing their work. The company's global network shapes our daily work. Many of our departments cover multiple company locations and countries, and project teams are often composed internationally.

The diversity of our procurement and sales markets is reflected in our corporate culture. The productive interplay of a variety of perspectives and experiences helps us understand our customers better, develop tailored solutions and remain competitive in a global economy. When filling management positions we likewise aim to achieve a mix of culture, genders and age groups.

One of our guiding principles is respecting the value of our different employees and creating the same opportunities for all. Our diversity and inclusion approach involves having a good mix, a common goal, an open attitude towards differences, trust and flexibility.

Measures that promote equal opportunity in our company include the creation of transparency on salary structures. The majority of salaries at the German companies are linked to the rates agreed with the IG Metall trade union, with some paid in accordance with rates established for IG Bergbau, Chemie, Energie. The remuneration paid to employees in France and Austria is also based on trade union rates. Using the union rates makes our remuneration more transparent.

Works councils or other legally mandated bodies represent the interests of the workforce. In Germany, there is also a Group works council comprising members of the local works councils at all operating companies.

Pursuant to the German Act on Equal Participation of Women and Men in Executive Positions in the Private and the Public Sectors, the Supervisory Board defined a target quota for the Executive Board that is described in the following section.

The Sartorius Executive Board is a committee that presently consists of four members and is therefore relatively small; the establishment of a rigid gender quota can be problematic. The current four members of the Executive Board of Sartorius AG are men. The appointment of at least one woman to the Executive Board was defined as a target to be met by the present deadline of June 30, 2022.

Likewise with regard to the appointment of women to the Executive Board of Sartorius AG, the Supervisory Board supports the activities of the Executive Board to further increase the percentage of female executives at the first two management levels in the company. The Executive Task Committee responsible and the full Supervisory Board regularly receive reports on the development of the proportions of women in senior-level management positions.

First and Second Management Levels Below the Executive Board

Over the past years, the percentage of women at the first two management levels below the Executive Board has considerably increased on the whole and is already at a comparably high level.

For the next deadline by June 30, 2022, the Executive Board resolved in 2017 to increase the proportion of women at both levels of management below this board to around 30%. Currently, the proportion of women at the first management level is around 38%; that at the second level, around 21%, thus exceeding or approaching the established quota. In general, it should be noted that owing to the relatively small number of managers at the first level, even individual personnel changes can lead to sizable swings in the quota. Moreover, in the past the consolidation of acquired companies has frequently led to a slight dilution in the proportion of women, and this effect cannot be excluded in the future.

405-1
Diversity of Governance Bodies and Employees

At the end of the reporting year, women made up 39.3 % of the total workforce, which is the same as the previous year.

Members of Governance Bodies by Gender and Age Group[1, 2]

	Female	Male
≤ 29 years	-	-
30 – 49 years	-	19%
≥ 50 years	31%	50%

1 Supervisory Board and Executive Board
2 Members of the governance bodies as of December 31, 2020.

Employees by Employee Category, Age Group and Gender[1, 2]

	Management	Employees	Total
Female	5.0%	34.3%	**39.3%**
≤ 29 years	0.3%	9.5%	9.8%
30 – 49 years	3.4%	18.2%	21.6%
≥ 50 years	1.3%	6.6%	7.9%
Male	10.5%	50.2%	**60.7%**
≤ 29 years	0.4%	12.0%	12.4%
30 – 49 years	6.9%	28.7%	35.6%
≥ 50 years	3.2%	9.5%	12.7%
Total	15.5%	84.5%	100.0%

1 Reports for 2021.
2 Employee figures are shown as headcount.

Employees with Disabilities[1]

	2021	2020
Employees with disabilities	241	207

1 Employee figures are shown as headcount.

406 Non-Discrimination

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Management Approach

The Sartorius Code of Conduct requires all Sartorius employees to adopt a task-oriented, open, friendly and fair approach to interacting with colleagues, employees and third parties, thereby helping to create an atmosphere of respectful cooperation. We do not tolerate employees being discriminated against, disadvantaged, harassed or excluded based on their sex, ethnic origin, life philosophy, race, religion, age, disability, appearance, sexual preferences and identity, origin or political position.

Sartorius actively integrates disabled employees into its workforce. All new buildings at Sartorius sites in Germany are designed to be barrier-free. A Group disability officer oversees a team that has been supporting employees with special needs in the German offices since 2014. While Sartorius meets the regulated standards at all its companies, it surpasses them significantly at its German sites.

406-1
Incidents of Discrimination and Corrective Actions Taken

Two suspected cases of discrimination were reported during the period under review. No cases of discrimination were determined during the reporting period.

412 Human Rights Assessment

103
Management Approach

The United Nations Guiding Principles on Business and Human Rights clarify the responsibility of states and businesses to protect and respect human rights. The focus is therefore not only on preventing infringements of human rights, but also the positive contribution that a business can make through its activities that promote the protection of human rights.

Sartorius pursues the goal of taking the highest possible level of care to prevent breaches of human rights within its sphere of influence.

In line with the UN Guiding Principles on Business and Human Rights, we respect and support the implementation of the values of the International Bill of Human Rights, the OECD Guidelines for Multinational Enterprises and the International Labour Organization (ILO) Declaration on Fundamental Principles and Rights at Work, by committing ourselves to regard these internationally recognized human rights as relevant for our operations. We respect the laws of the countries in which we operate.

A Policy Statement on Human Rights has been communicated to employees via the intranet since February 2019 and is also available to all stakeholders on the Internet.

Sartorius' Policy Statement on Human Rights is binding on the entire Group and applies worldwide. It requires all employees to observe appropriate, fair, and lawful conduct towards other employees, business partners, and the local community. We expect our business partners, suppliers, customers and cooperation partners to operate their business in line with correspondingly high ethical standards.

Sartorius' Code of Conduct and the Code of Conduct for business partners address the content of Sartorius' Policy Statement on Human Rights and puts it into concrete terms for everyday work. In annual online training courses about Sartorius' Code of Conduct, Sartorius employees strengthen their knowledge of the content and check it in the subsequent online test.

The complaint system described on page 140 ensures that topics with human rights relevance can be reported – even anonymously if the person so wishes.

Existing processes are continuously reviewed and adapted where necessary. An interdisciplinary working group was established in 2021 in order to fulfill the requirements of the new Duty of Care Act to ensure that human rights are observed in global supply chains.

The Executive Board becomes involved in handling reported incidents on a case-by-case basis.

If the company's performance and the success of the concepts in relation to human rights are to be made measurable, it is necessary to define specific quantitative indicators. In this process it is important to consider the influence of factors outside the company's sphere on the indicators. For example, actions by local government heads could be outside Sartorius' sphere of influence.

Sartorius has started defining which indicators could be relevant and reports on these in the respective sections. For our approach, we looked at the entire spectrum of human rights, how they are defined in the International Bill of Human Rights and the International Labour Organization (ILO) Declaration on Fundamental Principles and Rights at Work and then considered which of these human rights could be influenced relevantly in the context of our business operations. In the next step, we reviewed our existing reporting system for indicators that would be suitable for making this influence visible. We will complete the analysis in the coming year and then consider including more indicators.

In the reporting year, we report on the right to work in the section on "Finding and Retaining Talented Young Staff" and via the indicator "New Hires by Region, Gender and Age Group". We report on the right to education in the same section via the indicator "Training Hours by Region and Gender". We report on the right to an achievable maximum level of physical and mental health in the sections "Innovation & Social Contribution" and "Occupational Health and Safety" and via the indicator "Work-Related Injuries".

A comprehensive report can also be found in the separately published GRI Report. This is more detailed information that is provided voluntarily.

412-2
Employee Training on Human Rights Policies or Procedures

During the period under review, 9.241 employees from 35 countries completed training for the Code of Conduct. The hours spent on training amounted to 2,155 for the Code of Conduct. The Sartorius Code of Conduct is based on international agreements and guidelines, including the Universal Declaration of Human Rights, the conventions of the International Labor Organization (ILO) and the United Nations Global Compact. The hours spent on training amounted to 4,571 for the Code of Conduct and 4,670 for the Anti-Corruption Code. Compliance training courses are currently available in German, English, French and Chinese.

414 Supplier Social Assessment

103
Management Approach

Respect for human rights, the maintenance of high environmental standards and good, safe and fair working conditions for the production of our products is important to us, and apply to sites outside our own production as well. With more than 8,000 suppliers in more than 40 countries and a purchasing volume that corresponds to about 40% of our sales revenue1, it is obvious that our upstream supply chain is important for us to implement these goals.

The assumption of responsibility in global supply chains is also governed by a growing number of laws and requirements. In particular, the German Act on Corporate Due Diligence in Supply Chains, which was passed by the German parliament in July 2021, seeks to improve the international human rights situation by setting out requirements for the responsible management of supply chains. This Act comes into effect for German-based companies with more than 3,000 employees on January 1, 2023.

Moreover, the value chains for pharmaceuticals are very sensitive and are the focus of many stakeholders. In particular, patients at the end of the supply chain are dependent on their medications being available and safe at all times.

1 Revenue and purchasing volume in 2021.

Since January 2020, we have been verifying suppliers' compliance with our sustainability requirements via an external evidence-based ESG assessment, as well as in-house ESG quick checks. In the year under review, we have been working to set up a comprehensive risk management system and design new processes in order to be able to meet and document the requirements of the new Supply Chain Act in the near future, but by no later than 2023.

Our Code of Conduct for Business Partners provides the basis for collaboration with our business partners throughout the Group. Our requirements with regard to the environment, social matters and governance are defined in the Code. Since December 2019, acknowledgment of the Code of Conduct is part of the acceptance process for new suppliers. In 2020, we began systematically reviewing whether our existing suppliers have acknowledged the Code and, if not, asking them to do so.

For suppliers who are very relevant for our business processes and/or a high purchasing volume, we work together with the external sustainability assessment platform EcoVadis. The external ESG assessment is based on a self-assessment, a review of the associated documents and information from external sources. EcoVadis reviews 21 indicators in the areas of environment, labor and human rights, ethics and sustainable procurement.

Beginning in 2021, Sartorius quality auditors systematically conducted ESG quick checks within the scope of all planned quality audits in the suppliers' production plants. For this purpose, Sartorius put its sustainability requirements into a questionnaire. This will be provided to suppliers before the audit. During on-site auditing of suppliers' production plants, compliance with the requirements of our Code of Conduct for Business Partners is reviewed on the basis of the questionnaire.

The objective of all measures is to initiate actual improvements in the working, social and environmental standards of our suppliers. Sartorius Management is involved in shaping the process via the Corporate Sustainability Steering Committee and is informed about the progress being made.

We do not establish business relationships with suppliers where we see a considerable risk of child, forced or mandatory labor, other breaches of human rights or negative impacts on society, and will end any existing relationships with such suppliers. This procedure is also defined in our new process for sustainability in the supply chain.

During the Covid-19 pandemic, we are focusing on securing our delivery capabilities. This is very important considering the validated production processes of our customers. This is why we manage stocks of raw materials and finished products actively and maintain high levels of safety stock.

414-2
Negative Social Impacts in the Supply Chain and Actions Taken

In 2021, we received 110 valid sustainability assessments on our suppliers from EcoVadis, with 165 further assessments currently being prepared. The current evaluations cover roughly a third of our purchasing volume. In 2021, we spoke to suppliers who refused an EcoVadis assessment or whose assessment has expired.

The ESG quick checks performed by Sartorius itself as part of quality audits were still conducted in the year under review despite the coronavirus pandemic, albeit to a reduced extent, with 107 such quick checks completed as of the end of the reporting year.

We will use the results of the EcoVadis assessments and the ESG quick checks to develop our internal process in 2022.

415 Public Policy

103
Management Approach

Sartorius is politically independent and does not provide financial or in-kind support to politicians or political parties.

415-1
Political Contributions

In accordance with the management approach, no political contributions were made.

419 Socioeconomic Compliance

103
Management Approach

During the reporting year, a Global Regulatory Affairs Committee was established, with members from Compliance, Regulatory Affairs, Quality, Product Development, Procurement, EHS and Corporate Responsibility. The committee meets regularly to monitor new legal initiatives in the various units and to create the corresponding structures in the company.

419-1
Non-Compliance with Laws and Regulations in the Social and Economic Area

No significant fines or non-monetary penalties resulting from violations of laws or regulations were imposed in the reporting year. Two suspected cases of corruption were reported, one of which is still being investigated and one of which has already been deemed unsubstantiated/unproven.

Innovation & Social Contribution

Why it’s important

Our corporate mission is to promote scientific progress in the life sciences, which in turn supports the development of new vaccines, more effective therapies and affordable medical care. In the year under review, as in the previous year, the importance of this mission for society as a whole was underlined by the biotechnology sector’s contribution towards fighting the Covid-19 pandemic.

The biopharmaceutical market is rapidly developing – it is an area in which scientific breakthroughs leading to new therapies occur at a high rate. At the same time, it still takes about ten years to develop a new pharmaceutical drug and this remains cost-intensive. Our aim is to help our biopharmaceutical customers develop and produce biopharmaceuticals more efficiently.

From day one of its incorporation, Sartorius has worked to maintain an open exchange with the scientific community and, in this way, has driven forward scientific insights and precisely tailored product development. Our goal is to promote scientific thinking and working in society, creating a broader basis for future research and development.

Our approach

In collaboration with expert scientific groups worldwide, the company's research and development activities are aimed at making a contribution so that new active pharmaceutical ingredients are discovered faster and drugs can be produced efficiently. In this way, we want to bring about benefits for society, support sustainable development and, at the same time, strengthen the company's growth.

The innovation activities of the Sartorius Group are based on three pillars: first, specialized in-house product development, second, research cooperation agreements with partners such as scientific institutions and, third, integration of complementary technologies through acquisitions. While product development is assigned to the respective board members, Corporate Research works across the different divisions under the control of the CEO.

Sartorius is involved in many research partnerships covering a wide range of subjects. Forms of collaboration vary from single cooperation agreements to partnerships with institutes and scientific facilities. Both of these make up about 40% of the cooperation agreements. Sartorius also carries out research work in consortia, to which the company contributes its own scientific findings.

Often, new approaches arise from the interdisciplinary collaboration of various experts. Because of this, our approach is to bring experts from science startups and industry together and encourage networking and the sharing of ideas. This is conducive to the generation of new and creative ideas and thus supports scientific progress.

Supporting young scientists is important to us, as this creates the basis for scientific progress in the future.

Our performance

In past years, technologies from Sartorius have been used in the development and production of vaccines to combat various diseases, such as Ebola, Zika and H1N1. In the reporting year, the company's products and process knowledge made a significant contribution towards fighting the Covid-19 pandemic: Sartorius is involved in most vaccine projects throughout the world.

In accordance with its innovation concept, Sartorius strengthened its position with acquisitions during the year under review. Details about these acquisitions and corresponding expansion of the product portfolio and service spectrum can be found on pages 25 ff of the Group Management Report. Pages 33 ff of the Group Management Report contain information about our research and development activities.

By expanding its research cooperation agreements, Sartorius supports the development and production of biopharmaceuticals worldwide and, hence, improves the availability of innovative medical care in the long term. We also seek to improve the sustainability of our products through cooperation agreements. More information about product stewardship can be found in the Environment section from page 144.

In the year under review, Sartorius also engaged in various partnerships and cooperations, both with other companies and with scientific institutions.

A partnership between Sartorius and RoosterBio – a provider of cell banks, media and bioprocess systems – aims to combine technologies and tools in a way that facilitates the faster, more effective and more cost-efficient development of stem cells and therapies. The two companies wish to harness the data from the partnership to provide shared learning and development resources for the growing cell and gene therapy sector.

In tandem with BRAIN Biotech AG, headquartered in Germany, Sartorius is researching and adapting the pioneering CRISPR-Cas genome editing nuclease for specific applications in life sciences. Genome editing enables targeted and pinpoint insertion, deletion and modification within the genome of a living organism. In terms of biopharmaceuticals, these genetic scissors could pave the way for new therapies, thereby increasing the chances of a cure for many different illnesses, such as cancer, neurodegenerative diseases, and hereditary diseases.

Sartorius has entered into a partnership with McMaster University in Hamilton, Canada, with the aim of improving the production process for antibody- and virus-based treatments for illnesses such as COVID-19, cancer and genetic disorders. Initially scheduled to run for four years, this partnership intends to generate highly effective research that will make treatments available on a wider scale and innovative medications more affordable.

Sartorius supports the Penn State University, where it is helping the Sartorius Cell Culture Facility become a reality. As the twelfth core facility of the Huck Institutes of the Life Sciences, this laboratory is part of a collaborative biotechnology ecosystem. These facilities are available to researchers from across Penn State, as well as other academic and commercial researchers. They not only contain equipment that is effectively out of reach for smaller laboratories on account of its complexity and cost level, but also offer the expertise required to operate such equipment.

In partnership with the French 3D Innovation Lab program, a technology platform for innovations in bioscience and health care, the Université de Lyon and Sartorius will set up a shared 3D bioprinting laboratory. Sartorius will provide expertise and equipment, e.g. automated high-throughput bioreactor systems, high-speed virus quantification devices, and in-depth knowledge of polymer science in terms of health-care applications. Technology will make it possible to develop systems for the bioproduction of therapeutic agents based on the 3D bioprinting of cell tissue.

Live-cell imaging using artificial intelligence (AI) can help to convert large quantities of visual data into biological insights in an automated process. In order to develop more precise AI models, Sartorius has instigated the "Cell Instance Segmentation Challenge" on Kaggle, the world's largest online community for data scientists and machine learning experts. As part of this project, more than 1,700 data scientists are working together to help researchers gain better insights from their experiments. Ultimately, this could lead to new treatments for millions of people with certain conditions.

In the year under review, Sartorius also initiated the LifeScience Xplained | Sartorius Award for New Communication with a prize of €10,000. The 2021 winner received the award in recognition of the creative and entertaining videos on his YouTube channel "M.E.G.A.," where he shares his knowledge of molecular biology in an engaging and easy-to-understand way.

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1 The newly formed EHS Compliance Board is considering collecting this information.

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About This Publication

Published by Sartorius AG
Corporate Communications
37070 Goettingen, Germany

Editorial Deadline
31.03.2022

Published On
14.07.2022

Financial Reporting System firesys
firesys GmbH
Frankfurt | Main, Germany

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