Sartorius Stedim Biotech S.A.

# GRI Report 2021



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# Responsibility at Sartorius Stedim Biotech<sup>1</sup>

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<sub>2</sub> emission intensity, as this indicator enables a comparison of the CO<sub>2</sub> emissions of various companies as well as with economic and international indicators and targets. Correspondingly, our new climate target is to reduce CO<sub>2</sub> emission intensity, which is defined as the ratio of CO<sub>2</sub> 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<sup>1</sup> 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<sub>2</sub> 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.

# SARTURIUS

# Organizational Profile

#### 102-1

# Name of the Organization

Sartorius Stedim Biotech

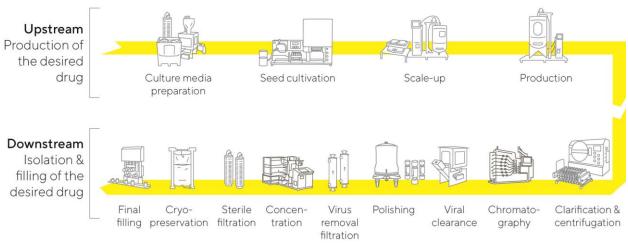
### 102-2

#### Activities, Brands, Products, and Services

As a leading partner of the biopharmaceutical industry, Sartorius Stedim Biotech helps its customers to develop their production processes and manufacture biotech medications and vaccines more efficiently.

Sartorius Stedim Biotech 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 Stedim Biotech 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.

# Technologies for the Entire Added-Value Chain in Biopharmaceutical Production



Schematic illustration

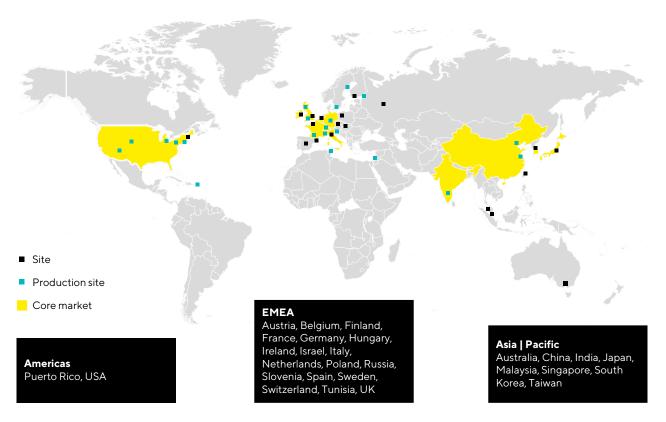
102-3 Location of Headquarters Aubagne, France

# 102-4 Location of Operations

Overall, Sartorius Stedim Biotech is present in 28 countries<sup>1</sup>; most employees are located in China, France, Germany, India, Puerto Rico, Tunisia, USA and the UK.

	2021	2020
Countries with at least one consolidated company of the Sartorius Stedim Biotech Group	28*	27

\*Australia, Austria, Belgium, China, Finland, France, Germany, Hungary, India, Ireland, Israel, Italy, Japan, Malaysia, Netherlands, Poland, Puerto Rico, Russia, Slovenia, Sweden, Switzerland, Singapore, Spain, South Korea, Taiwan, Tunisia, UK, USA



# 102-5 Ownership and Legal Form

Sartorius Stedim Biotech is a public limited liability company or joint stock company [société anonyme].

# Shareholder Structure: in % of share capital

Sartorius AG	73.8
Free float	26.2

### 102-6

# Markets Served

Sartorius Stedim Biotech 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. It primarily serves the biopharmaceutical industry.

 $<sup>^1</sup>$  The term "countries" includes states, provinces and territories and does not reflect any position regarding the state quality of a region.

102-7 Scale of the Organization

# Scale of the Organization

	Unit	2021	2020
Total number of employees	Headcount	10,409	7,566
Total number of operations	Countries	28	28
Revenue	€ in K	2,886,977	1,910,081
Equity	€ in K	1,733,200	1,461,000
Non-current liabilities	€ in K	1,180,752	827,893
Current liabilities	€ in K	1,037,119	567,840

# Assets

€ in K	Dec. 31, 2021	Dec. 31, 2020
Non-current assets	2,495,469	1,982,789
Current assets	1,455,629	873,945

# 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
Sales Revenue EMEA	1,199,273	761,022
thereof Germany	274,394	171,815
thereof France	95,734	70,941
Sales Revenue Americas	945,998	670,185
thereof USA	895,289	636,770
Sales Revenue Asia   Pacific	741,707	478,874
thereof China	303,606	180,308
thereof South Korea	140,007	116,732

# Employees by Region and Country<sup>1</sup>

			Share of total
Region	Country	Headcount	headcount
EMEA	Austria	8	0.1%
	Belgium	35	0.3%
	Finland	9	0.1%
	France	1,293	12.4%
	Germany	3,323	31.9%
	Hungary	4	0.0%
	Ireland	13	0.1%
	Israel	211	2.0%
	Italy	33	0.3%
	Netherlands	19	0.2%
	Poland	9	0.1%
	Russia	41	0.4%
	Slovenia	163	1.6%
	Spain	39	0.4%
	Sweden	86	0.8%
	Switzerland	122	1.2%
	Tunisia	691	6.6%
	UK	852	8.2%
EMEA Total		6,951	66.8%
Americas	Puerto Rico	1,158	11.1%
	USA	879	8.4%
Americas Total		2,037	19.6%
Asia   Pacific	Australia	17	0.2%
	China	494	4.7%
	India	565	5.4%
	Japan	49	0.5%
	Malaysia	5	0.0%
	Singapore	77	0.7%
	South Korea	181	1.7%
	Taiwan	33	0.3%
Asia   Pacific Total		1,421	13.7%
Total		10,409	100.0%

<sup>1</sup> Reports for 2021.

102-8 Information on Employees and Other Workers

# Employees by Employment Contract by Gender<sup>1,2</sup>

	Unlimited	Unlimited		
	contracts	Limited contracts	Total	
Female	3,552	553	4,105	
Male	5,584	720	6,304	
Total	9,136	1,273	10,409	

<sup>1</sup> Reports for 2021.

<sup>2</sup> Employee figures are shown as headcount.

### Employees by Employment Contract by Region<sup>1,2</sup>

	Unlimited contracts	Limited contracts	Total
EMEA	6,150	801	6,951
Americas	2,033	4	2,037
Asia   Pacific	953	468	1,421
Total	9,136	1,273	10,409

<sup>1</sup> Reports for 2021.

#### Employees by Employment Type by Gender<sup>1,2</sup>

	Full-time	Part-time	Total
Female	3,632	473	4,105
Male	5,996	308	6,304
Total	9,628	781	10,409

<sup>1</sup> Reports for 2021.

# Workers That Are Not Employees by Region<sup>1,2</sup>

	Other employees <sup>3</sup> Contigent workers <sup>4</sup>		
EMEA	213	1117	1,330
Americas	1	349	350
Asia   Pacific	5	167	172
Total	219	1,633	1,852

<sup>1</sup> Reports for 2021.

## 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<sup>1</sup>, 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

<sup>2</sup> Employee figures are shown as headcount.

<sup>2</sup> Employee figures are shown as headcount.

<sup>2</sup> Worker figures are shown as headcount.

<sup>3</sup> Paid by Sartorius Payroll (apprentices, interns).

<sup>4</sup> Paid by Finance (office workers, factory staff).

<sup>&</sup>lt;sup>1</sup> Revenue and purchasing volume in 2021.

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.<sup>1</sup>

#### 102-10

# Significant Changes to the Organization and its Supply Chain

In the reporting year, Sartorius Stedim Biotech strengthened its product portfolio for cell culture media and extended its production network in this segment by making two acquisitions. First, the company acquired a majority stake in CellGenix. This enterprise 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.

Second, 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

<sup>&</sup>lt;sup>1</sup> Refers to the Sartorius Group

various analytical services for characterizing, screening, and quantifying media components, as well as for optimizing media composition. In 2021, Xell generated sales of approximately €5 million and employed around 35 people.

Moreover, in February 2022, 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. The division with approximately 100 employees specializes in resin-based chromatography systems, and its product portfolio is complementary to our existing chromatography offering.

#### 102-11

# Precautionary Principle or Approach

Sartorius Stedim Biotech has decided to make the identification and the management of risks and opportunities a cross-functional component of Group management. In this context, Sartorius Stedim Biotech's risk management is integrated into the Sartorius Group organization. Further information on risk management is provided in the Universal Registration Document 2021 on pages 41 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<sup>1</sup>
- 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
- econsense<sup>1</sup>
- European Plastics Pact<sup>1</sup>
- HessenChemie
- MEDEF Mouvement des entreprises de France
- PDA Parenteral Drug Association
- Rx-360
- CCRM
- SLA Scottish Lifescience association
- Swiss Biotech Association

# Strategy

#### 102-14

## Statement from Senior Decision-Maker

See in this report 'Responsibility at Sartorius', page 4.

### 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 aboveaverage 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 inter-

We have also developed a Code of Conduct for our business partners to define our requirements on the topics of the environment, the social community and corporate governance. Recognition of this Code of Conduct for Business Partners is prerequisite to a long-term business relationship.

#### 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 Stedim Biotech 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

The Board of Directors of Sartorius Stedim Biotech is the central management and supervisory entity of the company, it deals with all matters concerning the proper operation of the company and takes decisions on subjects that concern it. The Board of Directors has established two committees: the Audit Committee and the Remunerations and Nominations Committee

Sartorius Stedim Biotech has decided to make the management and the reporting of its sustainability efforts a cross-functional component of Group management. In this context, Sartorius Stedim Biotech's sustainability management is integrated into the Sartorius Group organization.

The Corporate Responsibility Steering Committee meets at least once each year. Under the direction of the CEO of the Sartorius Group, senior-level managers and corporate responsibility officers discuss approaches that Sartorius could use to contribute to greater sustainability.<sup>1</sup>

The main missions of the Board of Directors are listed in the Corporate Governance Report in the Universal Registration Document 2021 on page 95.

### 102-20

# Executive-Level Responsibility for Economic, Environmental and Social Topics

The Board of Directors 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 Board of Directors 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.<sup>1</sup>

### 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 Board of Directors is composed of eight members, one executive Director and seven non-executive Directors. Of those, three are independent. One Director representing the employees is member of the Board

<sup>1</sup> Refers to the Sartorius Group. Sartorius Stedim Biotech has decided to make the management of sustainability issues a cross-functional component of Group management. In this context, Sartorius Stedim Biotech's sustainability management is integrated into the Sartorius Group organization.

of Directors. As of 31 December 2020, the Board of Directors of Sartorius Stedim Biotech S.A. is composed of 50% of women.

As of 31 December 2020, the Audit Committee has four members and the Chairwoman of the Audit Committee is independent. The Chairman of the Board of Directors, who is also the CEO of the Group, is a permanent guest of the Audit Committee, but has no voting rights. The Director representing the employees is also a guest of the Audit Committee and acts as the secretary of the meetings.

As of 31 December 2020 the Remunerations and Nominations Committee has four members. Two of the four members of the Remunerations and Nominations Committee are independent. The Director representing the employees, without being a member of the Remunerations and Nominations Committee, has been appointed by the Board of Director to attend the meetings as secretary.

An overview of the names of the members of the Board of Directors, including information the year of the first appointment and on other internal and external Group positions held by these individuals, is provided in the Universal Registration Document 2021 on pages 72 et seq.

### 102-23

# Chair of the Highest Governance Body

Dr. Joachim Kreuzburg was Chairman of Board of Directors and Chief Executive Officer throughout the entire reporting period. He was also Chairman of the Executive Board of the Sartorius Group.

#### 102-24

### Nominating and Selecting the Highest Governance Body

The Director representing the employees was appointed by the Work Council of the Company. Members of the Board are proposed to the Board of Directors by the Nomination and Remuneration committee, according to the internal regulations of the Remunerations and Nominations Committee of Sartorius Stedim Biotech.

The Board of Directors should consider what would be the desirable balance in its membership and that of the Committees it has established, in particular in the representation of women and men, nationalities and diversity of skills by taking measures appropriate to guarantee to the shareholders and to the market that its missions are carried out with the necessary independence and objectivity. It makes public in the Universal Registration Document the objectives, methods and results of its politics on these subjects.

Specifically, as regards the threshold of 40% women to be reached under the provisions of Article L. 225 - 18 -1 of the French Commercial Code, the Board of Directors has put significant effort into searching for skilled, independent and dedicated female directors with a proven level of expertise in biotechnologies or related industries.

# 102-25

### Conflicts of Interest

A Director must inform the Board as soon as he | she is aware of any conflict of interests, or even the possibility of a potential conflict, and must refrain from any participation in discussions on the relevant subject matter and from voting on any associated resolutions.

Further internal and external Group positions of the Board of Directors are disclosed in the Universal Registration Document 2021 on pages 72 et seq. The ownership structure of Sartorius Stedim Biotech is described under 102-5.

#### 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. 1

The Non-Financial Group Statement is submitted to the Supervisory Board of the Sartorius Group and contains non-financial topics and indicators that are key for Sartorius.<sup>2</sup>

#### 102-30

# Effectiveness of Risk Management Processes

Sartorius Stedim Biotech has decided to make the identification and the management of risks and opportunities a cross-functional component of Group management. In this context, Sartorius Stedim Biotech's risk management is integrated into the Sartorius Group organization.

The overall responsibility for the maintenance of an effective risk management system ensuring com-prehensive and consistent management of all material risks rests with the Audit Committee. 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. This includes the assessment of their potential impact and the decision-making on taking the appropriate countermeasures. With regard to CSR risks, the Finance & Controlling Department is supported by the Corporate Responsibility unit.

Sartorius Stedim Biotech 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 Audit Committee monitors the effectiveness of the risk management system. Furthermore, while carrying out their statutory audit mandate for the annual financial statements and consolidated fi-nancial statements, the independent auditors examine 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.

<sup>1</sup> Refers to the Sartorius Group.

<sup>2</sup> In accordance with Article L.225-102-1 IV of the French Commercial Code, Sartorius Stedim Biotech is exempted from the obligation to prepare its own non-financial report as the respective information is contained in the Non-Financial Group Statement prepared and published by the parent company Sartorius AG pursuant to the German regulations in force.

#### 102-31

# Review of Economic, Environmental, and Social Topics

The Supervisory Board of the Sartorius Group reviewed the Non-Financial Group Statement included in the Sartorius Group's Annual Report.<sup>1</sup>

# Highest Governance Body's Role in Sustainability Reporting

The Non-Financial Group Statement contained in the Annual Report was reviewed by the Supervisory Board of the Sartorius Group.1

#### 102-33

### Communicating Critical Concerns

At least once a year the Audit Committee receives a report from the Internal Auditing Department on the work they have done (according to the audit plan established by this committee) and their findings with regard to Group affiliates.

#### 102-35

### Remuneration Policies

Information on the remuneration policy for members of the Board of Directors, who are not on the Executive Board of the Sartorius Group, is provided in the Management Report in the Universal Registration Document 2021 Including the Annual Financial Report on pages 72 et seq.

Details are given on the remuneration policy for members of the Board of Directors, who are on the Executive Board of the Sartorius Group, in the Universal Registration Document 2021 Including the Annual Financial Report on pages 100 et seq. Such information includes disclosures on performance-based remuneration, variable multi-year components with a long-term incentive, pension commitments granted as post-employment benefits, and on a severance cap.

# 102-36

# Process for Determining Remuneration

The Remunerations and Nominations Committee's purpose is to assist the company's Board of Directors in setting the remuneration policy for corporate officers and, in particular, relating to incentive mechanisms (allocation of stock options and bonus shares) that the company may implement.

#### 102-37

#### Stakeholders' Involvement in Remuneration

The following is annually submitted to a vote by the Annual General Shareholders' Meeting for the stakeholders' approval: the fees of the members of the Board of Directors; the criteria for determination, allocation and granting of remuneration components for the CEO | Chairman of the Board of Directors and for the main directors; and the amount that Sartorius AG invoices to the Sartorius Stedim Biotech Group for members of the Board of Directors who are also members of the Executive Board of company's main shareholder.

The voting results are available on the company's website at https://www.sartorius.com/en/company/investorrelations/sartorius-stedim-biotech-sa-investor-relations/shareholders-meeting/archive.

<sup>1</sup> In accordance with Article L.225-102-1 IV of the French Commercial Code, Sartorius Stedim Biotech is exempted from the obligation to prepare its own non-financial report as the respective information is contained in the Non-Financial Group Statement prepared and published by the parent company Sartorius AG pursuant to the German regulations in force.

102-38 Annual Total Compensation Ratio

# Annual Total Compensation Ratio<sup>1, 2, 3, 4</sup>

Country	Highest-paid indi- vidual to median in each country
China	9.55
France	11.10
Germany	13.46
India	13.02
Puerto Rico	13.52
Tunisia	22.43
UK	4.61
USA	3.40
Group <sup>5</sup>	18.39

# 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.

<sup>2</sup> 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.

<sup>3</sup> In countries with large facilities in terms of the number of employees.

 $<sup>4\,\</sup>mbox{We}$  consider employees whose salary is paid out in the local standard currency.

<sup>5</sup> Calculated in euro.

102-41 Collective Bargaining Agreements

Total		55%
Asia   Pacific Total		6%
	Taiwan	0%
	South Korea	0%
	Singapore	0%
	Malaysia	0%
	Japan	0%
	India	14%
	China	0%
Asia   Pacific	Australia	0%
Americas Total		42%
	USA	0%
	Puerto Rico	74%
EMEA Total		69%
	UK	0%
	Tunisia	70%
	Switzerland	0%
	Sweden	100%
	Spain	100%
	Slovenia	0%
	Russia	0%
	Poland	0%
	Netherlands	0%
	Italy	100%
	Israel	0%
	Ireland	0%
	Germany Hungary	0%
		84%
	Finland France	100%
	Belgium	100%
EMEA	Austria	0%
Region	Country	ments
Destar		bargaining agree-
		Employees cov- ered by collective

<sup>1</sup> Reports for 2021.

# 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 Stedim Biotech Group or are affected by the actions of our company.

<sup>2</sup> Employee figures are shown as headcount.

#### 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, 1 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. The Sartorius Group 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.<sup>1</sup>

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, The Sartorius Group achieved silver level and, with this score, positioned itself among the best 19 percent of the companies assessed. Sartorius Stedim Biotech 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 130 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 on pages 88 et seq., as part of the Non-Financial Statement of the Group.

<sup>1</sup> Refers to the Sartorius 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 outcome of this process was discussed with the Corporate Responsibility Steering Committee for validation purposes and confirmed by the Executive Board<sup>1</sup>.

Unless otherwise indicated, the employee related data covers all Sartorius Stedim Biotech companies. Unless otherwise specified, the environmental indicators encompass all our production companies, representing 89% 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	
	407 Freedom of Association and Collective Bargaining	
Responsible Business Practices	205 Anti-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	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

<sup>1</sup> Refers to the Sartorius Group.

#### 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

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E-mail: katharina.tillmanns@sartorius.com

Sartorius Corporate Administration GmbH Otto-Brenner-Straße 20 37079 Göttingen, 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

In accordance with Article L.225-102-1 IV of the French Commercial Code, Sartorius Stedim Biotech is exempted from the obligation to prepare its own non-financial report as the respective information is contained in the Non-Financial Group Statement prepared and published by the parent company Sartorius AG pursuant to the German regulations in force. This Non-Financial Group Statement was reviewed by the certified independent auditing company KPMG 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 on pages 122 et seg.

# SARTURIUS

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 2,475 people is the largest private employer in this area1. 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 47,000, 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 Stedim Biotech 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 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<sup>1</sup>.

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

<sup>1</sup> Refers to the Sartorius Group.

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.1

A dedicated team has the task of the implementing and enforcing all Group compliance topics.<sup>1</sup>

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. 1

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.

#### 205-2

# Communications and Training about Anti-Corruption Policies and Procedures

During the period under review, 2,187 employees from 26 countries completed training for the Anti- Corruption Code and 2,232 employees from 27 countries completed training for the Code of Conduct. The hours spent on training amounted to 1,339 for the Code of Conduct and 1,312 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

Two suspected corruption cases were reported, one of which is currently under investigation, while the second 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.

<sup>1</sup> Refers to the Sartorius Group.

# SARTURIUS



# 302 Energy

#### 103

### Management Approach

Advancing climate change is a challenge that concerns everyone. We see it as our duty to make a contribution towards the decarbonization of the economy.

Sartorius Stedim Biotech produces in 20 production companies and, accordingly, consumes energy and creates emissions. Overall, we classify the environmental impact of our activities as comparatively low. However, we are also aware of our responsibility for the environment and set high standards for environmental protection.

In our Environmental Position, we define the basic principles and core topics of our environmental management system. Sartorius' Environmental Position is binding on all the companies and sites of the Sartorius Group. It has been communicated to all our employees via the intranet and the company website, and supports us in anchoring efficiency and environmental awareness in our daily business. In constructing new facilities, we follow recognized standards for sustainable building.

An ISO 14001-certified environmental management system has been established in Aubagne (France), Bangalore (India), Cergy (France), Göttingen (Germany), Guxhagen (Germany), Mohamdia (Tunisia), and Yauco (Puerto Rico). Consequently, 35% of the production companies fulfill the requirements of the international standard ISO 14001 and 68% of the employees in production companies work according to this standard.

Fifteen of our production companies are also certified according to the quality standard ISO 9001. This means that 90% of the employees of our production companies work according to this standard. These standards ensure that we comply with quality requirements in the manufacture of our products, exercise care with the resources we use, and prevent environmental risks. We also operate an energy management system in accordance with ISO 50001 at three German facilities. In relation to the number of employees at these plants, this represents 36% of all our production sites.

**Energy Consumption Within the Organization** 

#### Energy Consumption<sup>1</sup>

	2021	2020
Total energy consumption in MWh	136,424	112,516
Direct energy consumption in MWh	53,104	50,718
Electricity consumption from public grid in MWh	39,552	58,567
Certified green electricity in MWh	37,790	0
Others in MWh	5,978	3,231

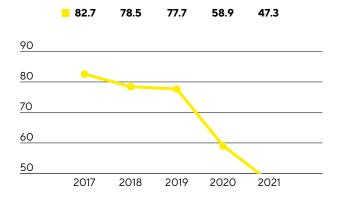
<sup>1</sup> Production sites acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. This includes the production sites in Bielefeld (Germany) and Freiburg (Germany). Sartorius Stedim Data Analytics (Sweden) is not counted, as it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

### Energy Consumption by Energy Carrier<sup>1</sup>

	2021	2020
Total energy consumption in MWh	136,424	112,516
Fuel consumption from non-renewable sources in MWh	53,104	50,718
of which natural gas in MWh	47,373	46,690
of which liquified petroleum gas (LPG) in MWh	751	216
of which heating oil in MWh	808	1,155
of which diesel in MWh	4,173	2,657
Electricity consumption in MWh	77,971	59,120
of which conventional electricity from public grid in MWh	39,552	58,567
of which certified green electricity	37,790	0
of which solar power (self-generated) in MWh	629	553
Heating consumption in MWh	3,820	2,330
of which district heating in MWh	3,113	1,750
of which geothermal energy in MWh	707	580
Cooling consumption in MWh	1,530	348

<sup>1</sup> 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<sup>1</sup> in proportion to annual sales, in MWh | € in millions



<sup>1</sup> 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), Hopkinton (USA), Marlborough (USA), Portsmouth (UK) 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

The company takes care to reduce water consumption and soil sealing, particularly at manufacturing plants located in baseline water risk areas according to the Aqueduct Water Risk Atlas, such as Beijing (China) and Mohamdia (Tunisia). Most of the water employed is for rinsing in the manufacture of filter membranes according to the precipitation bath method at the Göttingen site.

Sartorius Stedim Biotech primarily sources its water from the public water supply; beyond this, the company also uses rainwater. The total volume of water discharged into public sewage systems corresponds roughly to the company's total water consumption.

303-3 Water Withdrawal

#### Water Withdrawal<sup>1</sup>

	2021	2020
Total water withdrawal in MI	655.32	504.67
Surface water in MI	10.54	9.91
Groundwater in MI	5.07	21.41
Third-party water in MI	639.72	473.35

<sup>1</sup> 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.

# Water Withdrawal in Areas with Water Stress<sup>1,2</sup>

	2021	2020
Total water withdrawal in MI	-	384
Surface water in MI	-	0
Groundwater in MI	-	3
Third-party water in MI	-	381

<sup>1</sup> 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.

<sup>2</sup> Areas of water stress are assesed based on the World Resources Institute 'Aqueduct Water Risk Atlas'. We consider areas where water stress is classified as high (40-80%) or extremely 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<sub>2</sub> 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 450,0001 metric tons of CO<sub>2</sub> 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 CO2 emission intensity when formulating emissions targets as this indicator enables a comparison of the CO<sub>2</sub> 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/ $\mathbb{C}^1$  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<sub>2</sub> 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

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

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.

### 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<sub>2</sub>-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<sub>2</sub>-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, CO₂ intensity will be relevant to the governance of the Sartorius Group and will correspondingly form part of management remuneration.

#### Emissions and Targets of the Sartorius Group

	Basis 2019 <sup>1</sup>	Target 2030
Total GHG Emissions in t CO <sub>2</sub> eq	56,897	30,611
Total Scope 1 emissions in t CO <sub>2</sub> eq	18,103	9,739
Total Scope 2 emissions in t CO <sub>2</sub> eq	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<sub>2</sub> emissions, we take account of all climate-relevant gases and report them in CO<sub>2</sub> equivalents (CO<sub>2</sub>eq). 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<sub>2</sub> 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<sup>1</sup>

	2021	2020
Total GHG emissions in t CO₂eq².³	36,914	35,263
Total Scope 1 emissions in t CO <sub>2</sub> eq <sup>4</sup>	17,552	13,882
Total Scope 2 emissions in t CO₂eq <sup>5</sup>	19,362	21,381

- 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 of CO<sub>2</sub>eq were calculated by using SoFi software supplied by thinkstep. Emission factors from GaBi, Defra and VfU were used
- 3 Companies are integrated into the environmental report for emissions in accordance with the financial control consolidation approach.
- 4 Excluding fuel consumption for the company vehicle fleet.
- 5 Only location-based factors are used to calculate Scope 2 emissions.

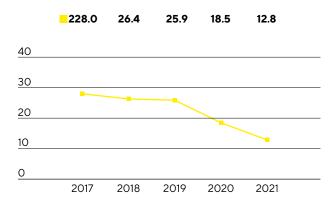
# 305-3 Other Indirect (Scope 3) GHG Emissions

Currently, we are reporting scope 3 emissions at the Sartorius Group level.

# Scope 3 Emissions of the Sartorius Group

	2021	2020
Total scope 3 emissions in t CO <sub>2</sub> eq	-	298,141
Emissions from purchased goods and services in t CO₂eq	-	162,806
Emissions from capital goods in t CO <sub>2</sub> eq	-	24,524
Emissions from fuel-and-energy-related activities (not included in Scope 1 or 2) in t CO <sub>2</sub> eq	-	6,044
Emissions from upstream transportation and distribution in t CO <sub>2</sub> eq	-	80,197
Emissions from business travel in t CO <sub>2</sub> eq	-	7,842
Emissions from business travel in t CO <sub>2</sub> eq	-	2,874
Emissions from employee commuting in t CO <sub>2</sub> eq	-	13,855

305-4 **GHG Emissions Intensity** Development of Climate-Relevant Emissions<sup>1</sup> in proportion to annual sales, in t | € in millions



1The GHG emissions intensity ratio is calculated by dividing direct and energy indirect GHG emissions in tons of CO2eq 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), Hopkinton (USA), Marlborough (USA), Portsmouth (UK) 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

#### 103

# Management Approach

We strive to reduce waste and follow the approach to reduce, reuse and recycle wherever possible. Our efforts include the reduction of scrap in production processes and the use of on-site sorting systems to help ensure that materials can be recycled. What is more, we attempt to rethink our product and packaging design in order to reduce their overall ecological impact including recyclability. It is our aim to reduce the proportion of waste stored in landfills to an absolute minimum.

The majority of hazardous waste at Sartorius results from the production of membranes. Organic solvents, which we need for manufacturing membranes used in sterile filters, are recovered and recycled in a multistage process. This is done directly on our plant site by a solvent reprocessing plant, and the solvents are then reused in production operations. In this way, we maintain closed-loop material cycles, minimize transportation requirements and reduce the quantities of water used and wastewater produced. As a result, emissions released into the air through the use of solvents are largely prevented. By conducting our own research and development, we also continuously lower the relative volume of solvents needed for membrane manufacture. While the distillation systems of our membrane casting machines operated in the precipitation bath mode permit about 99 percent recycling of the solvents used, the casting machines based on the evaporation process enable approx. 70 percent of solvents to be recycled. The remaining percentage of the solvents frozen for disposal are removed from the company premises as hazardous waste, which is then provided to a service company that specializes in sustainable solvent recovery and uses this waste to recover these solvents in a distillation process for other technical processes.

306-3 Waste Generated

#### Waste Generated by Composition<sup>1</sup>

	2021	2020
Total waste in t	9194	6603.91
Non-hazardous waste in t	6,195	4,286
Residual waste in t	1,826	1,470
Plastic waste in t	1,952	1,290
Paper and cardboard in t	1,303	924
Waste wood in t	813	391
Metal waste in t	232	170
Mixed recyclable materials in t	42	15
Electrical and electronic waste in t	27	25
Hazardous waste in t	2,999	2,318

<sup>1</sup> 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.

306-4 Waste Diverted From Disposal by Composition

#### Waste Diverted From Disposal<sup>1</sup>

	2021	2020
Total waste in t	4,118	2,613
Non-hazardous waste in t	3,814	2,331
Residual waste in t	15	0
Plastic waste in t	1,447	854
Paper and cardboard in t	1,303	924
Waste wood in t	790	343
Metal waste in t	232	170
Mixed recyclable materials in t	0	15
Electrical and electronic waste in t	27	25
Hazardous waste in t	304	282

<sup>1</sup> 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 Composition1

	2021	2020
Total waste in t	5,076	3,991
Non-hazardous waste in t	2,382	1,955
Residual waste in t	1,812	1,470
Plastic waste in t	505	436
Paper and cardboard in t	0	0
Waste wood in t	23	48
Metal waste in t	0	0
Mixed recyclable materials in t	42	0
Electrical and electronic waste in t	0	0
Hazardous waste in t	2,694	2,036

<sup>1</sup> 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<sup>1</sup>

	2021	2020
Total waste in t	2695	2036.08
Incineration (with energy recovery) in t	1,442	960
Incineration (without energy recovery) in t	1,042	812
Landfilling in t <sup>2</sup>	1	2
Other disposal operations in t	210	262

<sup>1</sup> 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.

#### Non-Hazardous Waste Directed to Disposal by Disposal Operation<sup>1</sup>

	2021	2020
Total waste in t	3125	1,955
Incineration (with energy recovery) in t	778	254
Incineration (without energy recovery) in t	58	466
Landfilling in t	1,094	785
Other disposal operations in t	1,195	450

<sup>1</sup> 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.

<sup>2</sup> Most of this is hazardous waste from a German plant, which is rendered harmless by bacterial treatment and reused.

### 307 Environmental Compliance

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#### 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.1

We will be reporting on the corresponding performance indicators in the GRI Report 2021.

### 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 percent of our sales revenue<sup>2</sup>, it is obvious that our upstream supply chain is important for us to implement these goals. In addition, a growing number of laws and requirements regulate the assumption of responsibility in global supply chains.

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.

We take a close look at our suppliers. Since January 2020, we have been examining the compliance with our requirements regarding sustainability in the production process.

In the process, 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.

Sartorius will review whether and to what extent suppliers actually breach the required ESG standards, using an approach comprising various components. A guideline to document the process is being developed at present.

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 will systematically conduct ESG quick checks within the scope of all planned quality audits in the suppliers' production plants. For this purpose, Sartorius put its sustainability

<sup>1</sup> Refers to the Sartorius Group.

<sup>2</sup> Refers to the sales and purchasing volume of the Sartorius Group in 2019.

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 first ESG quick check were already carried out during the year under review.1

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 Responsibility Steering Committee and is informed about the progress being made.<sup>1</sup>

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.

#### 306-5

#### 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<sup>1,2</sup>.

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.<sup>1</sup>

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<sup>1</sup> generates almost two thirds of its sales revenue<sup>3</sup> with sterile products that are used in biopharmaceutical research where they ensure the safety, efficiency and ecological compatibility 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 percent 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.

<sup>1</sup> Refers to the Sartorius Group. Sartorius Stedim Biotech has decided to make the management of sustainability issues a cross-functional component of Group management. In this context, Sartorius Stedim Biotech's sustainability management is integrated into the Sartorius Group organization.

<sup>2</sup> Purchasing volume of the Sartorius Group in 2019.

<sup>3</sup> Refers to the Sartorius Group.

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

In 2019, management decided to develop a comprehensive Sartorius plastic strategy, as, in addition to the numerous advantages of the sterile products, we also see potential to reduce our impact on natural resources in this area. Materials that are designed to be recycled and material flows will play an important role in this regard.

With our strategy we are addressing three dimensions: end of product life, plastic waste in our own business operations and packaging. During the reporting year, our Corporate Responsibility Steering Committee was involved in implementing the developed targets in the operations. Among other things, this includes reducing waste in production, designing packaging so that it can be recycled better, developing appropriate methods for recycling after the usage phase of contaminated and non-contaminated products and improved data management to control and measure the success of the activities.

In the period under review, Sartorius was the first company in its industry to sign the European Plastics Pact.<sup>1</sup> The aim of this public-private initiative is to improve the use and recycling of plastics and, as a consequence, use less virgin plastic. With cross-border cooperation agreements on a European level, the signatories want to develop new technologies, share their findings, harmonize guidelines and standards and dismantle existing barriers. As a cooperation on an international level, the European Plastics Pact fits well with our proactive sustainability approach.

Since October 2020, Sartorius Stedim Biotech also has a seat on the board of the Bio-Process Systems Alliance (BPSA). The BPSA is and industry-led non-profit company established to promote the use of reliable, safe and sustainable technologies in bioprocesses - for instance, by developing standards and guidelines throughout the entire supply chain. In this way, Sartorius pursues the goal of introducing more sustainability considerations in the industry.

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.<sup>1</sup>

#### Our performance

Development of the Sartorius plastics strategy was completed at the end of October 2020 and a start was made on integrating the targets into the operations. We will be reporting on the results that we have achieved in the next Sustainability Report.

We started various projects during the year under review, such as reducing packaging waste, recycling production waste and strategies for product end of life:

Filters are a key product for Sartorius Stedim Biotech. With the packaging redesign in the reporting year, Sartorius pursued its plastics and climate strategy and minimized the ecological impact of the packaging. Com-

<sup>1</sup> Refers to the Sartorius Group.

pared to the previous model, a significant amount of material was saved and the weight was reduced considerably. The result is 55 to 60 percent less waste. In addition, unavoidable waste is completely recyclable. Packaging dimensioning was also adapted and optimized for logistics.

Sartorius Stedim Biotech 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 used in other applications, such as packaging.

# SARTURIUS

400

# 401 Employment

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#### Management Approach

Sartorius Stedim Biotech 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.

As a globally operating company, we do business in many different regions and markets. Sartorius Stedim Biotech employees from 89 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<sup>1</sup> and make them known throughout the world. According to our analysis, they are all 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.

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 conducted two global employee surveys in the year under review. The first survey in July 2020 was aimed at evaluating the work situation during the general lockdown phase in spring. During this time, many administrative employees partly worked from home and the survey was intended to draw conclusions about future job design.

A second survey in November 2020 addressed a larger range of topics, such as employees' perception of the corporate and leadership culture, of their own workplace and work satisfaction in general. Employees were asked to suggest improvements. This survey will be carried out every six months in future.

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, 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.

#### 401-1

#### New Employee Hires and Employee Turnover

Over the past five years, Sartorius Stedim Biotech has recruited 3,687 new employees. The number of new hires increased by 2,005 compared to the previous year.

<sup>1</sup> The following employee figures include all staff members of the Sartorius Stedim Biotech Group, except for vocational trainees, interns, employees on extended leaves of absence and those participating in an early retirement plan. Numbers are reported as head counts.

#### New Employee Hires by Region, Gender and Age Group<sup>1,2</sup>

	EMEA	Americas	Asia   Pacific	Total
Female	887	433	185	1,505
≤ 29 years	479	206	94	779
30-49 years	350	167	90	607
≥ 50 years	58	60	1	119
Male	1,347	512	323	2,182
≤ 29 years	616	231	137	984
30-49 years	634	215	182	1,031
≥ 50 years	97	66	4	167
Total	2,234	945	508	3,687

<sup>1</sup> Reports for 2021.

The success of our measures to create a positive working environment is reflected in permanently low attrition rates. Excluding expired fixed-term contracts, Sartorius Stedim Biotech had an attrition rate of 7.1% in the reporting year, which is the same as the prior year.1

As a result of the consistently high number of new hires, the average seniority decreased slightly. In 2021, about more than a half of all employees had been with Sartorius Stedim Biotech for fewer than five years, while around 11 % had been with the company for 15 years or more.1

Employee Turnover by Region, Gender and Age Group<sup>1,2,3</sup>

	EMEA	Americas	Asia   Pacific	Total
Female	274	72	60	406
≤ 29 years	145	20	27	192
30-49 years	91	27	33	151
≥ 50 years	38	25	0	63
Male	290	81	99	470
≤ 29 years	130	12	25	167
30-49 years	106	35	70	211
≥ 50 years	54	34	4	92
Total	564	153	159	876

<sup>1</sup> Reports for 2021.

#### 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.

<sup>2</sup> Employee figures are shown as headcount.

<sup>2</sup> Employee figures are shown as headcount.

<sup>3</sup> 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.

<sup>1</sup> 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<sup>1,2,3</sup>

	Female	Male	Total
EMEA	209	145	354
Americas	16	12	28
Asia   Pacific	15	16	31
Total	240	173	413

<sup>1</sup> Reports for 2021.

### Employees That Returned to Work in the Reporting Period After Parental Leave Ended by Gender and Region<sup>1,</sup>

	Female	Male	Total
EMEA	175	141	316
Americas	14	9	23
Asia   Pacific	14	16	30
Total	203	166	369

<sup>1</sup> Reports for 2021.

#### Employees That Returned to Work After Parental Leave Ended That Were Still Employed 12 Months After Their Return to Work by Gender and Region<sup>1,2,3</sup>

	Female	Male	Total
EMEA	76	67	143
Americas	5	10	15
Asia   Pacific	12	21	33
Total	93	98	191

<sup>1</sup> Reports for 2021.

<sup>2</sup> Employee figures are shown as headcount.

<sup>3</sup> 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.

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### 403 Occupational Health and Safety

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#### 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.

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. As in the previous year, Sartorius is working towards standardizing its safety management system throughout the Group. Global harmonization of the processes will further improve occupational safety at our sites.

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 are also used at other sites. At our local Group locations, work safety committees confer regularly to discuss measures that promote health and prevent work-related accidents.

In the reporting year, at the Aubagne site, a cross-unit team started an initiative 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 600 employees - most of them from areas with a higher risk potential - have already taken part in the new workshops to raise safety awareness. In addition, 110 first aiders took part in a full day training course to minimize risks. Workshops were 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.

Our company in Bangalore is certified according to 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 7,500 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 was 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 was established 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 were provided at the sites.

Within the scope of a Mobile Corona Analysis (MCA) Response Study by Leibniz University Hannover, employees at the Göttingen and Guxhagen sites were able to have themselves tested voluntarily for COVID-19 via PCR analysis over several months. They were able to have a swab taken every two weeks. Since the end of the study phase, Sartorius now offers employees a regular antigen test. This test strategy to prevent the formation of infection clusters will be introduced successively at other sites.

#### 403-9

#### Work-Related Injuries

In comparison to the previous year, the number of recordable work-related injuries fell by about 40 percent. The fall in the relative frequency of work-related injuries was even more significant. Due to the pandemic, more employees worked from their home office. However, at Sartorius work in production and logistics increased during the reporting year. This underlines the effects of our actions aimed at increasing occupational safety. There were no accidents with serious outcomes or fatal accidents at any of our sites, which corroborates the high quality of the safety management system.

Sartorius has received awards at several sites for its safety concept during the COVID-19 pandemic. 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.

#### Work-Related Injuries<sup>1,2</sup>

	2021	2020
Recordable work-related injuries (employees)	113	119
Relative frequency of work-related injuries per 1,000,000 theoretical working hours (employees)	1.7	9.4
Work-related injuries with a serious outcome <sup>3</sup>	0	0
Fatal occupational accidents	0	0

<sup>1</sup> 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 sales company in the Netherlands is not counted.

<sup>2</sup> The following employee figures include all employees of the Sartorius Stedim Biotech Group except for apprentices, interns, permanent absent employees and employees in partial retirement. Employee figures are shown as headcount.

<sup>3</sup> 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.

<sup>1</sup> Refers to the Sartorius Group.

### 404 Training and Education

#### 103

#### Management Approach

Currently, 7,566 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.

Annual performance reviews between employees and their managers also provide a forum for discussing performance, targets and individual development opportunities. In 2020, Sartorius implemented a new systemsupported process to conduct performance reviews digitally based on uniform criteria from 2021 onwards.

Our employees should be able to develop personally and professionally throughout their professional lives. For this purpose, Sartorius offers a wide range of management and communication training opportunities as well as practical training at all its sites. Sartorius also encourages its employees to network within the company and to transfer temporarily to its other departments or sites. The Global Mobility Department<sup>1</sup> coordinates and looks after employees on temporary assignment to other countries. The basic conditions for temporary assignments in foreign countries are transparently defined for all staff members.

Sartorius pursues a goal of filling most management positions from within its own ranks. We use Sartorius' leadership guidelines as the basis for a management development program in which all first-time managers participate with the goal of developing a common leadership culture throughout the Group. The program is already available at our companies in Germany, the U.K., France, Belgium, Italy, Spain, India and China. A development program for production managers has been established in Germany.

#### 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, 68,026 hours were invested in training measures - on average 9.3 training hours per employee.<sup>2</sup> For the first time, training hours were recorded for all companies consolidated over the entire year. Due to the absence of in-person training as a result of the coronavirus pandemic, the average number of training hours per employee fell by 4.4 hours.

#### Training Hours by Region<sup>1,2,3</sup>

	EMEA	Americas	Asia   Pacific	Total
Women	30,372	13,239	6,774	50,385
Men	49,453	17,884	13,122	80,459
Total	79,825	31,123	19,896	130,844

<sup>1</sup> Reports for 2021.

<sup>2</sup> Employee figures are shown as headcount.

<sup>3</sup> 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..

<sup>1</sup> Refers to the Sartorius Group.

<sup>2</sup> 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<sup>1, 2</sup>

	2020
Female	31%
Male	28%
Total	29%

<sup>1</sup> 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

#### 103

#### Management Approach

As a globally operating company, we do business in many different regions and markets. Sartorius Stedim Biotech 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.

The Group Employees' Council represents the interests of our staff in Germany. All operating companies in Germany also have a local employees' council. In addition to the employee council members, various representatives are available to Sartorius employees.

#### 405-1

#### Diversity of Governance Bodies and Employees

At the end of the reporting year, women made up 39.4% of the total workforce, which is a slight increase over the previous year.

As of 31 December 2021, the Board of Directors of Sartorius Stedim Biotech S.A. is composed of 43% of women.

#### Members of Governance Bodies by Gender and Age Group<sup>1,2</sup>

	Female	Male
≤ 29 years		
30 - 49 years	13%	13%
≥ 50 years	38%	38%

#### 1 Board of Directors

2 Members of governance body on December 31, 2021.

#### Employees by Employee Category, Gender and Age Group<sup>1,2</sup>

	Management	Employees	Total
Female	5.1%	34.4%	39.4%
≤ 29 years	0.3%	10.8%	11.1%
30 - 49 years	3.5%	17.5%	21.0%
≥ 50 years	1.3%	6.0%	7.3%
Male	10.2%	50.4%	60.6%
≤ 29 years	0.5%	13.5%	14.0%
30 - 49 years	6.8%	28.6%	35.5%
≥ 50 years	2.9%	8.2%	11.1%
Total	15.3%	84.7%	100.0%

<sup>1</sup> Reports for 2021.

#### Employees with Disabilities1

	2021	2020
Employees with disabilities	176	148

<sup>1</sup> Employee figures are shown as headcount.

### 406 Non-Discrimination

#### 103

#### 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 Stedim Biotech 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.

<sup>2</sup> Employee figures are shown as headcount.

### 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 15 ensures that topics with human rights relevance can be reported - even anonymously if the person so wishes.

During the period under review, an interdisciplinary working group was established to review the processes and adapt them where necessary in order to fulfill the requirements of the new Duty of Care Act to ensure that human rights are observed in the global supply chains.

The Executive Board becomes involved in handling reported incidents on a case-by-case basis.<sup>1</sup>

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

<sup>1</sup> Revenue and purchasing volume in 2021.

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.

#### Employee Training on Human Rights Policies or Procedures Not available

### 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 pro-duction 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, 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 Germanbased 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 audit-ing 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 Sus-tainability 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 vol-ume. 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.<sup>1</sup>

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 Stedim Biotech 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.1

<sup>&</sup>lt;sup>1</sup> Refers to the Sartorius Group.

#### 419-1

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

No significant fines or non-monetary sanctions were imposed for non-compliance with laws and | or regulations in the social and economic area.

### 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, 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.1

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 percent of the cooperation agreements. Sartorius also carries out research work in consortia, to which Sartorius contributes its own latest 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 the acquisitions and corresponding expansion of the product portfolio and service spectrum can be found on page 23 of the Universal Registration Document 2021. Pages 32 et seg. of the Universal Registration Document 2021 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. In the reporting year, the number of research cooperation agreements doubled. We also seek to improve the sustainability of our products through cooperation agreements. More information about product stewardship can be found in the Environment Topics from page 27.

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 increas-ing the chances of a cure for many different illnesses, such as cancer, neurodegenerative diseases, and he-reditary 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 re-quired 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 ap-plications. 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 instigat-ed 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.1

<sup>&</sup>lt;sup>1</sup> Refers to the Sartorius Group.

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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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