

# Non-financial Group statement

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# Responsibility at Sartorius

## Sustainability Management

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 150-year old company, 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 core business just as much as living up to our corporate responsibilities.

Because of the Covid-19 pandemic, 2020 was characterized by changes that posed serious challenges for society as a whole. At the same time, the crisis showed how Sartorius' core business makes a direct contribution towards 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 the coronavirus.

Optimization of processes and methods throughout the entire supply 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 this connection, Sartorius signed the European Plastics Pact in 2020 as the first company in its industry. 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.

Sartorius' CO<sub>2</sub> emissions are relatively low, since the company is not a high energy user nor does it purchase energy-intensive raw materials. However, we do believe it is important that we play our part in helping to reduce global warming. To reduce our Scope 1 and 2 CO<sub>2</sub> emissions, we set ourselves science-based targets in the reporting year, which are based on the science-based targets and the 1.5°C goal.

This year, our Corporate Responsibility Steering Committee, which meets at least once per year and is chaired by the CEO, mainly discussed implementation of the defined climate and plastic targets in the activities of the two divisions and, hence, focused on the Sustainable Development Goals of the United Nations "Climate Action" and "Responsible Consumption and Production".

## Stakeholder Involvement

Sartorius engages in a very close, ongoing dialog with its stakeholders, using this exchange to regularly discuss aspects of sustainability.

We define stakeholders as those persons, companies, institutions and interest groups that are able to influence the success of the Sartorius Group or are affected by the actions of our company. In particular, such stakeholders are our customers, employees, investors, suppliers and business partners, as well as neighboring companies and local residents.

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

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

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

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

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

## About the Non-Financial Group Statement

Sartorius defined non-financial indicators that enable assessment of the impact of its business activities on stakeholders, the environment and society.

This non-financial Group statement was prepared in accordance with the disclosures set out in Sections 315b and 315c in conjunction with Sections 289c to 289e of the German Commercial Code (HGB). Pursuant to Section 315b, Subsection 1, Sentence 3 HGB, reference is also made to individual non-financial aspects contained elsewhere in the Group Management Report.

Orientation for the non-financial Group statement is provided by the reporting framework developed by the Global Reporting Initiative (GRI) – the Sustainability Reporting Standards so that we can ensure transparency and comparability.

The reporting period for the non-financial Group statement is the fiscal year, the reporting cycle is annual. Unless otherwise indicated, the employee-related data covers all Sartorius companies. Unless otherwise specified, the environmental indicators encompass all our production companies, representing 76% of the total headcount.

This non-financial Group statement was audited by KPMG AG in the form of an audit with limited assurance. The submission of this non-financial Group statement releases our subgroup Sartorius Stedim Biotech S.A. from the obligation of creating its own non-financial statement.

## Organizational Profile

We refer to the Group Management Report, pages 27 ff, sections “Structure and Management of the Group” and “Business Model, Strategy and Goals”.

## Materiality Analysis

Our considerations with regard to materiality are based on the term used in the European CSR Directive Implementation Act (CSR-RUG). We also take our stakeholders’ considerations into account.

We conducted a comprehensive materiality analysis in 2017 to determine the material topics for the business activities of 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 Executive Board confirmed the results of this process.

There were no changes to the material topics compared with last year. They were confirmed as follows:

1. Advance innovation and, as a result, contribute to improved medical care and promote employment and good working conditions through growth.
2. Find and retain employees, protect their health and safety and promote their continuous development.

3. Responsible corporate governance and compliance and respect for human rights throughout the supply chain.
4. Protect the environment by reducing emissions and assuming responsibility for our products throughout their life cycles.

## Risk Management

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.

## Sustainable Development Goals

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

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

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



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

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

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

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

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

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

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

**Action to combat climate change** is taken within the company and also in our supply chain. Human-induced climate change is one of the greatest challenges of our time. It requires action from everyone concerned, especially the private sector. A key issue is to reduce emissions of CO<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.

# 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.

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 pages 28 ff of the Group Management Report. Pages 49 ff of the Group Management Report contain information about our research and development activities.

By expanding its research cooperation agreements, Sartorius supports the development and production of biopharmaceuticals worldwide and, hence, improves the availability of innovative medical care in the long term. 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 section from page 141.

Another important aspect is our work with and support for young scientists. For the past three years, Sartorius has had a cooperation agreement with the East China University of Science and Technology (ECUST) in Shanghai. The university has a good reputation for its research in the fields of biosciences, biotechnology and bioengineering. Within the scope of the Young Eagle trainee program, during the reporting year, 110 students from the Bioscience and Biotechnology department visited the Sartorius site in Shanghai. Since 2017, 25 students have completed an internship at Sartorius as part of the Young Eagle cooperation.

The "Sartorius & Science Prize for Regenerative Medicine & Cell Therapy", awarded by Sartorius' Research Xchange Forum in collaboration with the American Association for the Advancement of Science (AAAS) was presented for the last time in the reporting year. The award, which comes with \$35,000 in prize money, is geared toward outstanding scientists who focus on basic or translational research in these fields.

# Employees



## Finding and Retaining Talented Staff

### Why it's important

Sartorius is growing strongly. We continually gain talented and well-qualified employees and build their loyalty to ensure the success of the company in the future as well. In the process, one particular challenge all over the world is to recruit experienced specialists for the company. Currently, 10,637 employees contribute to Sartorius' success. Continuing professional development, assumption of responsibility and opportunities to advance within the company are important for our employees' satisfaction. These competences safeguard their employability and open up new professional prospects for them.

As a globally operating company, we do business in many different regions and markets. Sartorius employees from 96 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.

### Our approach

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. Annual performance reviews between employees and their managers also provide a forum for discussing performance, targets and

<sup>1</sup> The following employee figures include all staff members of the Sartorius 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.

individual development opportunities. In 2020, Sartorius implemented a new system-supported 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 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.

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.

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.

## Our performance

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, 92,180 hours were invested in training measures – on average 8.9 training hours per employee.<sup>1</sup>

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<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.

**Training Hours by Region and Gender<sup>1,2,3</sup>**

	EMEA	Americas	Asia   Pacific	Total
Women	8.5	5.9	9.7	8.1
Men	9.5	6.7	12.0	9.5
<b>Total</b>	<b>9.1</b>	<b>6.4</b>	<b>11.3</b>	<b>8.9</b>

1 Reports for 2020

2 Employee figures are shown as headcount.

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

Over the past five years, Sartorius has recruited 7,291 new employees. At the end of the reporting year, women made up 38.8% of the total workforce, which is the same as the previous year.

In the reporting year, 5.7% or 601 people worked part-time, 81 more than in 2019; most of them are in Germany.<sup>1</sup>

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

	EMEA	Americas	Asia   Pacific	Total
<b>Women</b>	<b>536</b>	<b>156</b>	<b>141</b>	<b>833</b>
≤ 29 years	258	54	62	374
30 - 49 years	220	69	77	366
≥ 50 years	58	33	2	93
<b>Men</b>	<b>731</b>	<b>243</b>	<b>226</b>	<b>1,200</b>
≤ 29 years	318	62	110	490
30 - 49 years	352	133	115	600
≥ 50 years	61	48	1	110
<b>Total</b>	<b>1,267</b>	<b>399</b>	<b>367</b>	<b>2,033</b>

1 Reports for 2020

2 Employee figures are shown as headcount.

The success of our measures to create a positive working environment is reflected in permanently low attrition rates. Excluding expired fixed-term contracts, Sartorius had an attrition rate of 7.1% in the reporting year, or 0.4 percentage points below the already low level of the prior year.<sup>1</sup>

As a result of the consistently high number of new hires, the average seniority decreased slightly. In 2020, about half of all employees had been with Sartorius for fewer than five years, while around a sixth had been with the company for 15 years or more.<sup>1</sup>

<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.

**Fluctuation by Region, Gender and Age Group<sup>1,2,3</sup>**

	EMEA	Americas	Asia   Pacific	Total
<b>Women</b>	<b>254</b>	<b>70</b>	<b>59</b>	<b>383</b>
≤ 29 years	119	13	10	142
30 - 49 years	95	38	47	180
≥ 50 years	40	19	2	61
<b>Men</b>	<b>300</b>	<b>84</b>	<b>78</b>	<b>462</b>
≤ 29 years	114	12	20	146
30 - 49 years	105	39	55	199
≥ 50 years	81	33	3	117
<b>Total</b>	<b>554</b>	<b>154</b>	<b>137</b>	<b>845</b>

1 Reports for 2020.

2 Employee figures are shown as headcount.

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

Due to the significance for the development of the company, the number of employees at Sartorius is very relevant and is reported regularly by management. More information about "Employees" can be found in the Group Management Report on page 51.

## Occupational Health and Safety

### Why it's important

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.

### Our approach

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.

One of our two companies in Beijing and one of our companies in Shanghai are certified in accordance with OHSAS 18001 and one of our two companies in Bangalore is certified according to ISO 450001.

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 10,000 employees. Second, maintaining our business operations, on the one hand, to be able to support our customers and, on the other, to ensure our own financial stability. In view of the fact that many of our customers are involved in the development and production of vaccines against the coronavirus, Sartorius has a special social responsibility. It 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.

## Our performance

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>

	2020	2019
Recordable work-related injuries	145	253
Relative frequency of work-related injuries per 1,000,000 theoretical working hours	8.2	16.6
Work-related injuries with a serious outcome <sup>3</sup>	0	0
Fatal occupational accidents	0	0

1 Companies acquired during the year are not included and, in accordance with the reporting guideline, will not be reported until the next reporting year. The two sales companies in the Netherlands are not counted.

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

3 An accident with a serious outcome is an accident in which the injured person is not rehabilitated at all or not until six months after the accident.

# Responsible Business Practices



## Compliance

### Why it's important

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.

### Our approach

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 Monday, December 16, 2019.

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

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

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

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



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

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.

## Our performance

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

No significant fines or non-monetary penalties resulting from violations of laws or regulations were imposed in the reporting year. Three suspected corruption cases were reported, two of which are currently under investigation, while the third proved to be unsubstantiated.

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

## Supply Chain

### Why it's important

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>1</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.

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<sup>1</sup> Sales and purchasing volume in 2019.

## Our approach

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. The review process will be completed during 2021.

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 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 checks were already carried out during the year under review.

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.

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.

## Our performance

In 2020, we asked 168 suppliers to agree to an external sustainability assessment by EcoVadis. In the reporting year, we had 81 assessments, covering about 30 percent of the purchasing volume<sup>1</sup>. In 2021, we will be talking with suppliers who refused an EcoVadis assessment or whose assessment has expired.

In the reporting year, due to the pandemic, the number of ESG quick checks carried out by Sartorius itself within the scope of quality audits was very limited; the same applies to processes still being designed. Four ESG quick checks were carried out; however, due to the Covid-19-related travel restrictions, all audited suppliers are based in Germany. Further ESG quick checks planned for 2020 will be conducted in 2021.

We will use the results of the EcoVadis assessments and the ESG quick checks to develop our internal process in 2021.

## Human Rights

### Why it's important

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.

### Our approach

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

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<sup>1</sup> Purchasing volume in 2019.

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 137 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.

## Our performance

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

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

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

A comprehensive report can also be found in the separately published GRI Report. This is more detailed information that is not required within the scope of the non-financial Group statement.

# Environment



## Energy Consumption and Emissions

### Why it's important

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 produces in 28 production companies and consumes the corresponding energy and causes emissions in these companies. 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.

### Our approach

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 the two largest companies in Göttingen (Germany) and Aubagne (France), Bangalore (India), Cergy (France), Guxhagen (Germany), Helsinki and Kajaani (Finland), Mohamdia (Tunisia), Beijing (China), Shanghai (China) and Yauco (Puerto Rico). Consequently, 39% of the production companies fulfill the requirements of the international standard ISO 14001 and 70% of the employees in production companies work according to this standard.

Nineteen of our production companies are also certified according to the quality standard ISO 9001. This means that 88% 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 four German facilities. In relation to the number of employees at these plants, this represents 38% of all our production sites.

In the reporting year, Sartorius prepared a balance of its CO<sub>2</sub> emissions and set science-based targets for the Scope 1 and 2 emissions, which are based on the 1.5°C target and the Science Based Targets (SBT). For Scope 3 emissions, we have set a qualitative target to reduce the emissions. A reduction target is deemed to be science-based if, according to current scientific findings, it is suitable for limiting global warming to 1.5°C according to the Paris Agreement. By 2030, Sartorius will reduce its direct emissions and emissions from bought-in energy by around 45 percent in comparison to 2019. Next year, a decision will be made on whether to report the targets to the Science Based Targets initiative (SBTi).

This year, the Corporate Responsibility Steering Committee, which meets at least once each year and is chaired by the CEO, was intensively involved with implementation of the developed climate targets in the operations of the two divisions and adopted appropriate measures.

#### Emissions and Targets

	Basis 2019 <sup>1</sup>	Target 2030
<b>Total GHG Emissions in t CO<sub>2</sub>eq</b>	<b>56,897</b>	<b>30,611</b>
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

<sup>1</sup> 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.

## Our performance

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<sup>1</sup> (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.

Scope 1 and 2 emissions from Sartorius are relatively low. Nevertheless, we are continuously looking for ways to reduce emissions. Despite continuing expansion of our production facilities, the success of our measures is reflected in the company's overall energy consumption and greenhouse gas emissions, which have increased at a lower rate than the company's expansion in terms of sales revenue.

The new science-based targets will be used in our planning from Q1 2021. Accordingly, we plan to report the corresponding reductions from the next annual report.

In the reporting year, we have already changed the purchase of electricity for the German sites from 2021 to hydroelectricity. Currently, the three company sites in Germany, Göttingen, Guxhagen and Ulm are responsible for about half the Group's energy consumption. With the changeover to buying electricity generated from renewables for these sites, we will reduce our CO<sub>2</sub> emissions by approximately 30 percent compared to 2019.

<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 Ajdovščina (Slovenia), Cergy (France), Fremont (USA), Hopkinton (USA), Marlborough (USA), Portsmouth (UK), Shanghai (China) and another production facility in Ann Arbor (USA). Sartorius Stedim Data Analytics (Sweden) is not counted, as it is an IT company that does not produce any goods.

**Energy Consumption<sup>1</sup>**

	2020	2019 <sup>2</sup>
<b>Total energy consumption in MWh</b>	<b>132,065</b>	<b>130,749</b>
Direct energy consumption in MWh	55,444	58,891
Electricity consumption from public grid in MWh	70,951	67,009
Others in MWh	5,670	4,849

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 Ajdovščina (Slovenia), Cezom göttingenrgy (France), Fremont (USA), Hopkinton (USA), Marlborough (USA), Portsmouth (UK), Shanghai (China) and another production facility in Ann Arbor (USA). Sartorius Stedim Data Analytics (Sweden) is not counted, as it is an IT company that does not produce any goods.

2 There was a minor adjustment to the energy values for 2019 resulting from an incorrect allocation and calculation.

**Greenhouse Gases<sup>1</sup>**

	2020	2019
<b>Total GHG emissions in t CO<sub>2</sub>eq<sup>2,3</sup></b>	<b>43,156</b>	<b>44,138</b>
Total Scope 1 emissions in t CO <sub>2</sub> eq <sup>4</sup>	15,277	16,710
Total Scope 2 emissions in t CO <sub>2</sub> eq <sup>5</sup>	27,880	27,428

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 Ajdovščina (Slovenia), Cergy (France), Fremont (USA), Hopkinton (USA), Marlborough (USA), Portsmouth (UK), Shanghai (China) and another production facility in Ann Arbor (USA). Sartorius Stedim Data Analytics (Sweden) is not counted, as it is an IT company that does not produce any goods.

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 for this.

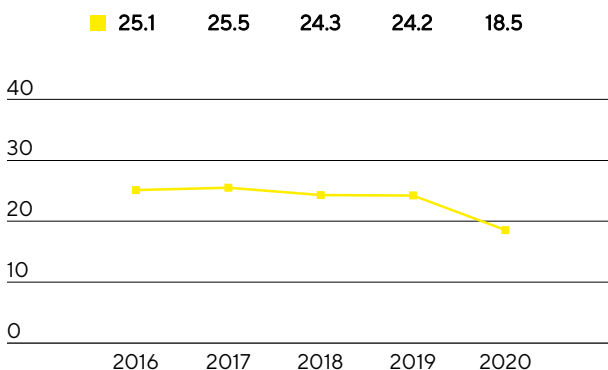
3 Companies are integrated into the environmental report for emissions in accordance with the financial control consolidation approach.

4 Excluding fuel consumption for the company vehicle fleet.

5 Only location-based factors are used to calculate Scope 2 emissions.

**Development of Climate-Relevant Emissions**

in proportion to annual sales, in t | € in millions



# Product Stewardship

## Why it's important

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

Sartorius generates almost two thirds of its sales revenue with sterile products that are used in biopharmaceutical research where they ensure the safety, 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.

## 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 two operational divisions. 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. 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 also has a seat on the board of the Bio-Process Systems Alliance (BPSA). The BPSA is an 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).

## 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 operational divisions. We will be reporting on the results that we have achieved in the next non-financial Group statement.

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 in the Bioprocess Solution Division. With the packaging redesign in the reporting year, Sartorius pursued its plastics and climate strategy and minimized the ecological impact of the packaging. Compared 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 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.

# Report of the Independent Auditor

## Limited Assurance Report of the Independent Auditor regarding the Non-financial Group Statement<sup>1</sup>

To the Supervisory Board of Sartorius AG, Göttingen

We have performed an independent limited assurance engagement on the Non-financial Group Statement of Sartorius AG, Göttingen (further „Sartorius AG“) and the group as well as the by reference qualified parts “Structure and Management of the Group” as well as “Business Model, Strategy and Goals” (further: „Report“) according to § 315b German Commercial Code (HGB) for the period from January 1 to December 31, 2020.

As disclosed in the report on page 138-139, 81 ESG assessments of suppliers were conducted by EcoVadis as well as four ESG quick checks of suppliers production sites were conducted within quality audits by Sartorius to ensure compliance with the environmental, social and health standards. The appropriateness and accuracy of the conclusions from the audit and assessment work performed was not part of our limited assurance procedures.

## Management’s Responsibility

The legal representatives of Sartorius AG are responsible for the preparation of the Report in accordance with §§ 315b, 315c in conjunction with 289c to 289e HGB.

This responsibility of the legal representatives includes the selection and application of appropriate methods to prepare the Report and the use of assumptions and estimates for individual disclosures which are reasonable under the given circumstances. Furthermore, the legal representatives are responsible for the internal controls they deem necessary for the preparation of the Report that is free of – intended or unintended – material misstatements.

## Practitioner’s Responsibility

It is our responsibility to express a conclusion on the Report based on our work performed within our limited assurance engagement.

We conducted our work in the form of a limited assurance engagement in accordance with the International Standard on Assurance Engagements (ISAE) 3000 (Revised): “Assurance Engagements other than Audits or Reviews of Historical Financial Information” published by IAASB. Accordingly, we have to plan and perform the assurance engagement in such a way that we obtain limited assurance as to whether any matters have come to our attention that cause us to believe that the Report of the Company for the period from January 1 to December 31, 2020 has not been prepared, in all material respects, in accordance with §§ 315b, 315c in conjunction with 289c to 289e HGB. We do not, however, issue a separate conclusion for each disclosure. In a limited assurance engagement the evidence gathering procedures are more limited than in a reasonable

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<sup>1</sup> Our Engagement applied to the German version of the Statement 2020. This text is a translation of the Independent Assurance Report issued in German language, whereas the German text is authoritative.

assurance engagement and therefore significantly less assurance is obtained than in a reasonable assurance engagement. The choice of audit procedures is subject to the auditor's own judgement.

Within the scope of our engagement, we performed amongst others the following assurance procedures:

- Inquiries of personnel on group level, who are responsible for the materiality analysis, in order to gain an understanding of the processes for determining material topics and respective reporting boundaries for Sartorius AG
- A risk analysis, including a media search, to identify relevant information on Sartorius AG's sustainability performance in the reporting period
- Reviewing the suitability of internally developed Reporting Criteria
- Evaluation of the design and the implementation of systems and processes for the collection, processing and monitoring of disclosures, including data consolidation, on environmental, employee and social matters, respect for human rights, and anti-corruption and bribery matters
- Inquiries of personnel on group level who are responsible for determining disclosures on concepts, due diligence processes, results and risks, performing internal controls functions and consolidating disclosures
- Inspection of selected internal and external documents
- Analytical procedures for the evaluation of data and of the trends of quantitative disclosures as reported at group level by all sites
- Evaluation of local data collection, validation and reporting processes as well as the reliability of reported data based on a sample of the sites in Göttingen (Germany) and Yauco (Puerto Rico)
- Assessment of the overall presentation of the disclosures

In our opinion, we obtained sufficient and appropriate evidence for reaching a conclusion for the assurance engagement.

## Independence and Quality Assurance on the Part of the Auditing Firm

In performing this engagement, we applied the legal provisions and professional pronouncements regarding independence and quality assurance, in particular the Professional Code for German Public Auditors and Chartered Accountants (in Germany) and the quality assurance standard of the German Institute of Public Auditors (Institut der Wirtschaftsprüfer, IDW) regarding quality assurance requirements in audit practice (IDW QS 1).

## Conclusion

Based on the procedures performed and the evidence obtained, nothing has come to our attention that causes us to believe that the Report of Sartorius AG for the period from January 1 to December 31, 2020 has not prepared, in all material respects, in accordance with §§ 315b, 315c in conjunction with 289c to 289e HGB.

## Restriction of Use / Clause on General Engagement Terms

This assurance report is issued for purposes of the Supervisory Board of Sartorius AG, Göttingen registered office only. We assume no responsibility with regard to any third parties.

Our assignment for the Supervisory Board of Sartorius AG, Göttingen and professional liability as described above was governed by the General Engagement Terms for Wirtschaftsprüfer and Wirtschaftsprüfungsgesellschaften (Allgemeine Auftragsbedingungen für Wirtschaftsprüfer und Wirtschaftsprüfungsgesellschaften) in the version dated January 1, 2017 ([https://www.kpmg.de/bescheinigungen/lib/aab\\_english.pdf](https://www.kpmg.de/bescheinigungen/lib/aab_english.pdf)). By reading and using the information contained in this assurance report, each recipient confirms notice of the provisions contained therein including the limitation of our liability as stipulated in No. 9 and accepts the validity of the General Engagement Terms with respect to us.

Munich, February 5, 2021

KPMG AG  
Wirtschaftsprüfungsgesellschaft

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