

Sartorius Stedim Biotech S.A.

GRI Report 2020

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Responsibility at Sartorius Stedim Biotech

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 company¹, 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, Sartorius¹ 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.

¹ Refers to the Sartorius Group.

Sartorius' CO₂ 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 CO₂ emissions, we set ourselves science-based targets in the reporting year, which are guided by the science-based targets initiative and the 1.5°C goal.¹

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".¹

¹ Refers to the Sartorius Group.

Sustainable Development Goals

Sartorius¹ 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.

¹ Refers to the Sartorius Group.

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 CO₂ 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.

Organizational Profile

102-1

Name of the Organization

Sartorius Stedim Biotech

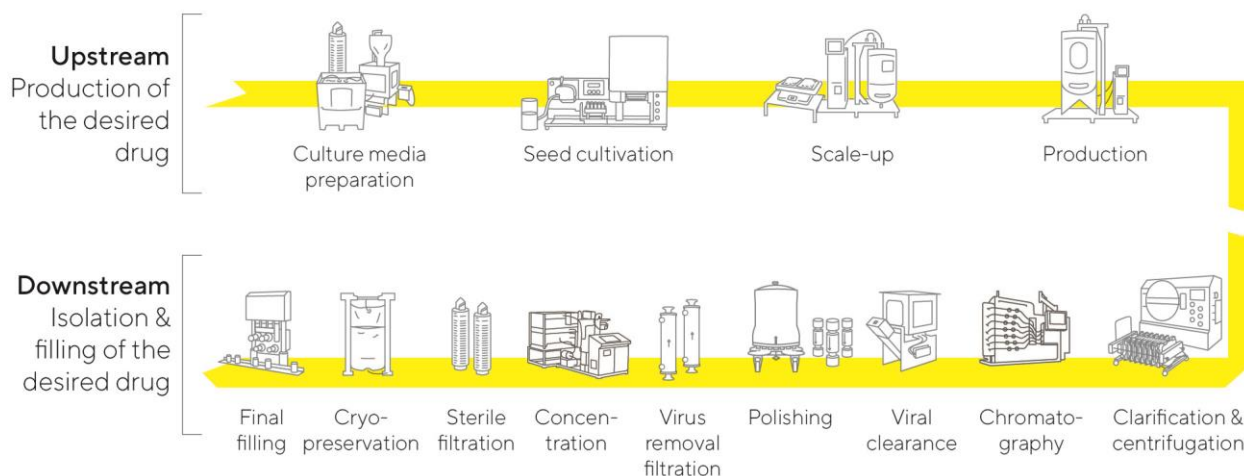
102-2

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

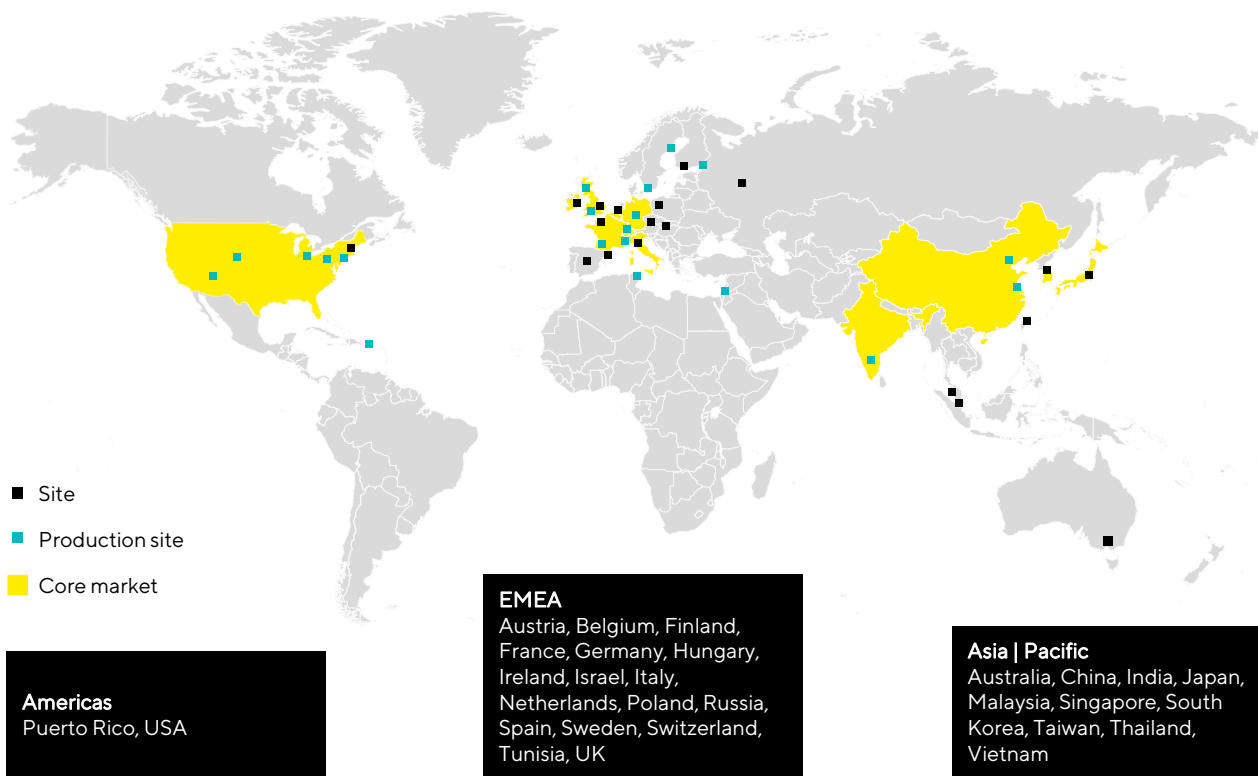
102-4

Location of Operations

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

	2020	2019
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.

102-7

Scale of the Organization

Scale of the Organization

	Unit	2020	2019
Total number of employees	Headcount	7,566	6,203
Total number of operations	Countries	28	27
Revenue	€ in K	1,910,081	1,440,570
Equity	€ in K	1,482,917	1,188,883
Non-current liabilities	€ in K	1,018,726	228,117
Current liabilities	€ in K	567,693	428,363

Assets

€ in K	Dec. 31, 2020	Dec. 31, 2019
Non-current assets	2,194,120	1,209,134
Current assets	875,216	636,229

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	2020	2019
Sales Revenue EMEA	761,022	575,122
thereof Germany	171,815	151,667
thereof France	70,941	68,153
Sales Revenue Americas	670,185	511,647
thereof USA	636,770	477,905
Sales Revenue Asia Pacific	478,874	353,801
thereof China	180,308	106,819
thereof South Korea	116,732	82,678

Employees by Region and Country¹

Region	Country	Headcount	Share of total headcount
EMEA	Austria	7	0.1%
	Belgium	29	0.4%
	Finland	9	0.1%
	France	986	13.0%
	Germany	2,495	33.0%
	Hungary	4	0.1%
	Ireland	11	0.1%
	Israel	205	2.7%
	Italy	33	0.4%
	Netherlands	11	0.1%
	Poland	7	0.1%
	Russia	23	0.3%
	Slovenia	116	1.5%
	Spain	30	0.4%
	Sweden	67	0.9%
	Switzerland	85	1.1%
	Tunisia	388	5.1%
UK	747	9.9%	
EMEA Total		5,253	69.4%
	Puerto Rico	643	8.5%
	USA	595	7.9%
Americas Total		1,238	16.4%
Asia Pacific	Australia	14	0.2%
	China	319	4.2%
	India	462	6.1%
	Japan	34	0.4%
	Malaysia	5	0.1%
	Singapore	60	0.8%
	South Korea	152	2.0%
	Taiwan	29	0.4%
Asia Pacific Total		1,075	14.2%
Total		7,566	100.0%

¹ Reports for 2020.

102-8 Information on Employees and Other Workers

Employees by Employment Contract by Gender^{1,2}

	Unlimited contracts	Limited contracts	Total
Female	2,594	391	2,985
Male	4,120	461	4,581
Total	6,714	852	7,566

¹ Reports for 2020.

² Employee figures are shown as headcount.

Employees by Employment Contract by Region^{1,2}

	Unlimited contracts	Limited contracts	Total
EMEA	4,709	544	5,253
Americas	1,235	3	1,238
Asia Pacific	770	305	1,075
Total	6,714	852	7,566

1 Reports for 2020.

2 Employee figures are shown as headcount.

Employees by Employment Type by Gender^{1,2}

	Full-time	Part-time	Total
Female	2,702	283	2,985
Male	4,434	147	4,581
Total	7,136	430	7,566

1 Reports for 2020.

2 Employee figures are shown as headcount.

Workers That Are Not Employees by Region^{1,2}

	Other employees ³	Contigent workers ⁴	Total
EMEA	155	782	937
Americas	1	272	273
Asia Pacific	3	108	111
Total	159	1,162	1,321

1 Reports for 2020.

2 Worker figures are shown as headcount.

3 Paid by Sartorius Payroll (apprentices, interns).

4 Paid by Finance (office workers, factory staff).

102-9**Supply Chain**

With more than 8,000 suppliers in more than 40 countries, the purchasing volume corresponds to about 40 percent of our sales revenue¹. 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.²

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

Sartorius Stedim Biotech successfully closed the acquisition, announced in October 2019, of selected life science businesses of Danaher Corporation as part of a broader transaction between Danaher and Sartorius Group. The transaction was completed on April 30, 2020, after receiving the required regulatory approvals. In addition, Sartorius Stedim Biotech acquired the Slovenian purification specialist BIA Separations. In addition, Sartorius Stedim Biotech acquired the Slovenian purification specialist BIA Separations. Due to these acquisitions Sartorius now has additional 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). Further

1 Sales and purchasing volume of the Sartorius Group in 2019.

2 Refers to the Sartorius Group.

information on changes in the Group portfolio is available in the Universal Registration Document 2020 on page 20.

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 2020 on pages 42 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 Compact¹
- 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

¹ Refers to the Sartorius Group.

- econsense¹
- European Plastics Pact¹
- 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 Responsibility at Sartorius Stedim Biotech, 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 above-average performance.

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

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

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

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.¹

The main missions of the Board of Directors are listed in the Corporate Governance Report in the Universal Registration Document 2020 on page 90.

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.¹

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 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.

¹ 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.

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 2020 on pages 75 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 2020 on pages 74 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

¹ Refers to the Sartorius Group.

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.¹

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 comprehensive 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 financial 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.

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.¹

¹ 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.

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

The present GRI Report was released by the CEO | Chairman of the Board of Directors and 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 2020 Including the Annual Financial Report on pages 70 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 2020 Including the Annual Financial Report on pages 108 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/investor-relations/sartorius-stedim-biotech-sa-investor-relations/shareholders-meeting/archive>.

¹ 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^{1,2,3,4}

Country	Highest-paid individual to median in each country
China	8.0
France	11.0
Germany	14.8
India	13.3
Puerto Rico	9.9
Tunisia	20.9
UK	6.2
USA	3.9
Group ⁵	17.9

1 Reports for 2020.

2 Annual total compensation is defined as the sum of the annual base salary and the annual bonus target amount. For part-time employees the total compensation target is calculated up to one full-time equivalent.

3 We consider employees whose salary is paid out in the local standard currency.

4 In countries with significant operations in terms of the number of employees.

5 Calculated in euro.

Stakeholder Engagement

102-40

List of Stakeholder Groups

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

102-41

Collective Bargaining Agreements

Employees Covered by Collective Bargaining Agreements^{1,2}

Region	Country	Employees covered by collective bargaining agreements
EMEA	Austria	0%
	Belgium	100%
	Finland	33%
	France	100%
	Germany	87%
	Hungary	0%
	Ireland	0%
	Israel	0%
	Italy	100%
	Netherlands	0%
	Poland	0%
	Russia	0%
	Slovenia	0%
	Spain	100%
	Sweden	100%
	Switzerland	0%
	Tunisia	67%
UK	0%	
EMEA Total		68%
	Puerto Rico	74%
	USA	0%
Americas Total		38%
Asia Pacific	Australia	0%
	China	0%
	India	18%
	Japan	0%
	Malaysia	0%
	Singapore	0%
	South Korea	0%
	Taiwan	0%
Asia Pacific Total		8%
Total		54%

1 Reports for 2020.

2 Employee figures are shown as headcount.

102-42

Identifying and Selecting Stakeholders

We define stakeholders as those persons, companies, institutions and interest groups that are able to influence the success of the Sartorius Stedim Biotech Group or are affected by the actions of our company.

102-43

Approach to Stakeholder Engagement

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

In the reporting year, we had intensive discussions about the subject of sustainability with our customers. During many meetings, we discussed the expectations of our customers and started cooperation projects. To get a comprehensive overview in this regard, in collaboration with a market research institute we wrote to more than 70 customers,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.¹

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 2020 Annual Report on pages 142 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.

¹ 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 Board¹.

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

This is the first GRI Report.

102-49

Changes in Reporting

This is the first GRI Report.

102-50

Reporting Period

The reporting period of the GRI Report is the fiscal year from January 1 to December 31.

¹ Refers to the Sartorius Group.

102-51**Date of Most Recent Report**

This is the first GRI Report.

102-52**Reporting Cycle**

The reporting cycle is annual.

102-53**Contact Point for Questions Regarding the Report**

Katharina Tillmanns-Pelzer

Corporate Responsibility

Phone: +49.551.308.2893

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 2020 Annual Report of the Sartorius AG on pages 146 et seq.

203 Indirect Economic Impacts

103

Management Approach

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

203-2

Significant Indirect Economic Impacts

Many large production facilities of Sartorius are located in small to mid-size cities and communities, and are among the most important employers there, such as in Göttingen, Germany; Aubagne, France; and Yauco, Puerto Rico. At our Group headquarters in the university city of Göttingen, Sartorius with its workforce of more than 3,300 people is the largest private employer in this 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 45,000, for example, we offer attractive long-term jobs to 850 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 around 500 directly at Sartorius and about 120 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, 2019.¹

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.²

¹ Refers to the Sartorius Group.

² Refers to the Sartorius Group.

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

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.

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.

302-1

Energy Consumption Within the Organization

Energy Consumption¹

	2020	2019
Total energy consumption in MWh	112,516	111,987
Direct energy consumption in MWh	50,718	54,562
Electricity consumption from public grid in MWh	58,567	55,202
Others in MWh	3,231	2,223

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), 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.

Energy Consumption by Energy Carrier¹

	2020	2019
Total energy consumption in MWh	112,516	111,987
Fuel consumption from non-renewable sources in MWh	50,718	54,562
of which natural gas in MWh	46,690	50,044
of which liquified petroleum gas (LPG) in MWh	216	193
of which heating oil in MWh	1,155	1,277
of which diesel in MWh	2,657	3,048
Electricity consumption in MWh	59,120	55,202
of which conventional electricity from public grid in MWh	58,567	55,202
of which solar power (self-generated) in MWh	553	-
Heating consumption in MWh	2,330	2,223
of which district heating in MWh	1,750	1,734
of which geothermal energy in MWh	580	489
Cooling consumption in MWh	348	-

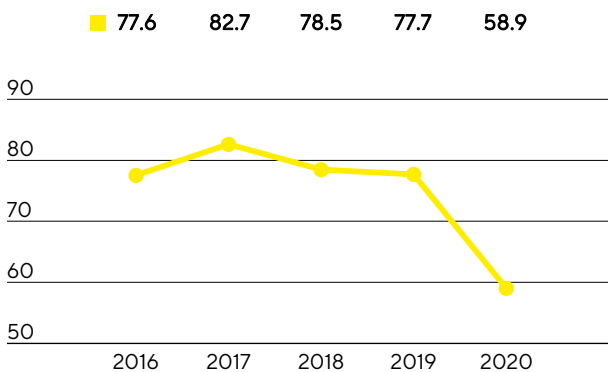
¹ Production sites acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. This includes the production sites in Ajdovščina (Slovenia), Cergy (France), Hopkinton (USA), Marlborough (USA), Portsmouth (UK) and another production facility in Ann Arbor (USA). Sartorius Stedim Data Analytics (Sweden) is not counted, as it is an IT company that does not produce any goods.

302-3

Energy Intensity

Energy Intensity¹

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



¹ The energy intensity ratio is calculated by dividing the total energy consumption including fuel, electricity, heating and self-generated solar energy in MWh of production sites by annual sales in millions of euros. Production sites acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. This includes the production sites in Ajdovščina (Slovenia), Cergy (France), 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 Withdrawal¹

	2020	2019
Total water withdrawal in MI	504.67	439.30
Surface water in MI	9.91	13.64
Groundwater in MI	21.41	17.01
Third-party water in MI	473.35	408.65

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), 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.

Water Withdrawal in Areas with Water Stress^{1,2}

	2020	2019
Total water withdrawal in MI	383.89	324.82
Surface water in MI	-	-
Groundwater in MI	3.21	0.01
Third-party water in MI	380.69	324.81

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), 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.

² Areas of water stress are assessed based on the World Resources Institute 'Aqueduct Water Risk Atlas'. We consider areas where water stress is classified as high (40-80%) or extremely high (>80%).

305 Emissions

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.

In the reporting year, Sartorius prepared a balance of its CO₂ 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).¹

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 and adopted appropriate measures.¹

¹ 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

Emissions and Targets of the Sartorius Group¹

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

1 Emissions and targets are determined at the Sartorius Group level. In 2019, 85% of total GHG emissions of the Sartorius Group from production sites were attributable to the Sartorius Stedim Biotech Group (94% of scope 1 emissions, 79% of scope 2 emissions).

2 Emissions from sales companies were included in the emissions for the determination of the climate targets and other emission factors were used.

Sartorius has been recording greenhouse gas emissions in line with the Greenhouse Gas Protocol (GHG) global standard since 2013. Accordingly, in addition to the CO₂ emissions, we take account of all climate-relevant gases and report them in CO₂ equivalents (CO₂eq). Currently, we report direct climate-relevant emissions from our production sites¹ (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.²

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 renewable for these sites, we will reduce our CO₂ emissions by approximately 30 percent compared to 2019.

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), 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.

2 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.

305-1 and 305-2

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

Greenhouse Gases¹

	2020	2019
Total GHG emissions in t CO₂eq^{2,3}	35,263	37,370
Total Scope 1 emissions in t CO ₂ eq ⁴	13,882	15,712
Total Scope 2 emissions in t CO ₂ eq ⁵	21,381	21,658

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), 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.

2 Emissions in t of CO₂eq 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.

305-3

Other Indirect (Scope 3) GHG Emissions

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

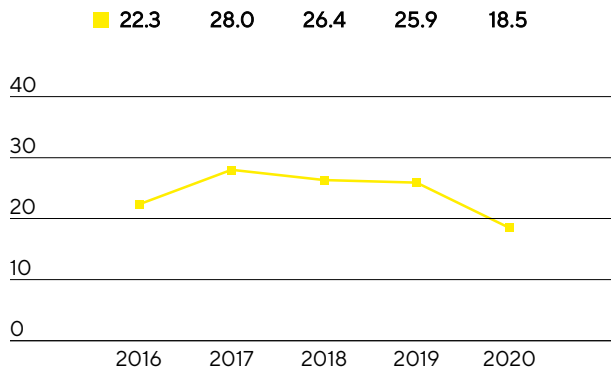
Scope 3 Emissions of the Sartorius Group

	2020	2019
Total scope 3 emissions in t CO₂eq	298,141	228,592
Emissions from purchased goods and services in t CO ₂ eq	162,806	120,024
Emissions from capital goods in t CO ₂ eq	24,524	14,342
Emissions from fuel-and-energy-related activities (not included in Scope 1 or 2) in t CO ₂ eq	6,044	11,000
Emissions from upstream transportation and distribution in t CO ₂ eq	80,197	40,745
Emissions from business travel in t CO ₂ eq	7,842	168
Emissions from business travel in t CO ₂ eq	2,874	31,001
Emissions from employee commuting in t CO ₂ eq	13,855	11,312

305-4

GHG Emissions Intensity

Development of Climate-Relevant Emissions¹
in proportion to annual sales, in t | € in millions



¹ The GHG emissions intensity ratio is calculated by dividing direct and energy indirect GHG emissions in tons of 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 multi-stage 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^{1,2}

	2020
Total waste in t	6,604
Non-hazardous waste in t	4,286
Residual waste in t	1,470
Plastic waste in t	1,290
Paper and cardboard in t	924
Waste wood in t	391
Metal waste in t	170
Mixed recyclable materials in t	15
Electrical and electronic waste in t	25
Hazardous waste in t	2,318

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), 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.

2 The categorization of waste was changed as of 2020, therefore the previous year's figures are no longer comparable.

306-4

Waste Diverted From Disposal by Composition

Waste Diverted From Disposal^{1,2}

	2020
Total waste in t	2,613
Non-hazardous waste in t	2,331
Residual waste in t	-
Plastic waste in t	854
Paper and cardboard in t	924
Waste wood in t	343
Metal waste in t	170
Mixed recyclable materials in t	15
Electrical and electronic waste in t	25
Hazardous waste in t	282

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), 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.

2 The categorization of waste was changed as of 2020, therefore the previous year's figures are no longer comparable.

306-5

Waste Directed to Disposal

Waste Directed to Disposal by Composition^{1,2}

	2020
Total waste in t	3,991
Non-hazardous waste in t	1,955
Residual waste in t	1,470
Plastic waste in t	436
Paper and cardboard in t	-
Waste wood in t	48
Metal waste in t	-
Mixed recyclable materials in t	-
Electrical and electronic waste in t	-
Hazardous waste in t	2,036

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), 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.

2 The categorization of waste was changed as of 2020, therefore the previous year's figures are no longer comparable.

Hazardous Waste Directed to Disposal by Disposal Operation^{1,2}

	2020
Total waste in t	2,036
Incineration (with energy recovery) in t	960
Incineration (without energy recovery) in t	812
Landfilling in t ³	2
Other disposal operations in t	262

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), 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.

2 The categorization of waste was changed as of 2020, therefore the previous year's figures are no longer comparable.

3 Most of this is hazardous waste from a German plant, which is rendered harmless by bacterial treatment and reused.

Non-Hazardous Waste Directed to Disposal by Disposal Operation^{1,2}

	2020
Total waste in t	1,955
Incineration (with energy recovery) in t	254
Incineration (without energy recovery) in t	466
Landfilling in t	785
Other disposal operations in t	450

1 Production sites acquired during the year are not counted and, in line with the reporting guideline, will be included in the report next year. This includes the production sites in 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.

2 The categorization of waste was changed as of 2020, therefore the previous year's figures are no longer comparable.

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

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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 revenue², 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. 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

¹ Refers to the Sartorius Group.

² 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.¹

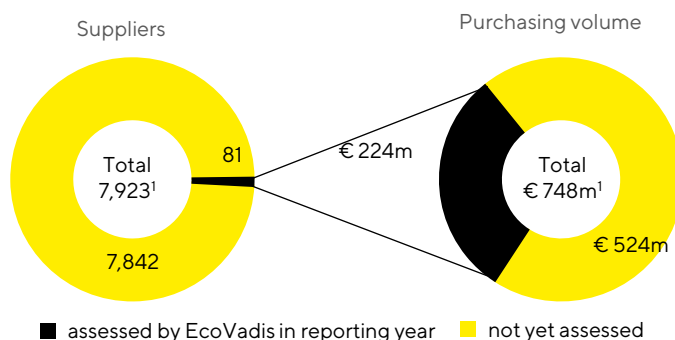
We do not establish business relationships with suppliers where we see a considerable risk of child, forced or mandatory labor, other breaches of human rights or negative impacts on society, and will end any existing relationships with such suppliers. This procedure is also defined in our new process 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 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^{1,2}. In 2021, we will be talking with suppliers who refused an EcoVadis assessment or whose assessment has expired.



¹ Purchasing volume and number of suppliers of the Sartorius Group in 2019.

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 were very limited; the same applies to processes still being designed. Four ESG quick checks were carried out; due to the COVID-19-related travel restrictions, the audited suppliers were based in Germany.¹ 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.

¹ 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.

² Purchasing volume of the Sartorius Group in 2019.

Product Stewardship

Why it's important

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

Sartorius¹ generates almost two thirds of its sales revenue¹ 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 operations.¹ 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.¹ 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 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

¹ Refers to the Sartorius Group.

produce more sustainably by modifying the process parameters. For this purpose, Sartorius is involved in the National Institute for Innovation in Manufacturing Biopharmaceuticals (NIMBL).¹

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. 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 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.

¹ Refers to the Sartorius Group.

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 employees¹ 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.

¹ 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.

401-1

New Employee Hires and Employee Turnover

Over the past five years, Sartorius Stedim Biotech has recruited 5,497 new employees. The number of new hires increased by 698 compared to the previous year. For the first time, the number of employees hired by companies acquired during the year was also included, with a total of 26 new employees.

New Employee Hires by Region, Gender and Age Group^{1,2}

	EMEA	Americas	Asia Pacific	Total
Female	451	123	122	696
≤ 29 years	216	47	60	323
30-49 years	184	51	62	297
≥ 50 years	51	25	-	76
Male	599	190	197	986
≤ 29 years	267	50	104	421
30-49 years	282	99	93	474
≥ 50 years	50	41	-	91
Total	1,050	313	319	1,682

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 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 2020, about half of all employees had been with Sartorius Stedim Biotech for fewer than five years, while around a seventh had been with the company for 15 years or more.¹

Employee Turnover by Region, Gender and Age Group^{1,2,3}

	EMEA	Americas	Asia Pacific	Total
Female	195	43	41	279
≤ 29 years	99	10	7	116
30-49 years	70	25	34	129
≥ 50 years	26	8	-	34
Male	211	41	59	311
≤ 29 years	93	5	18	116
30-49 years	70	17	39	126
≥ 50 years	48	19	2	69
Total	406	84	100	590

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.

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

401-2**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.

401-3**Parental Leave****Employees That Took Parental Leave by Gender and Region^{1,2,3}**

	Female	Male	Total
EMEA	133	74	207
Americas	16	16	32
Asia Pacific	15	25	40
Total	164	115	279

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.

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

	Female	Male	Total
EMEA	84	69	153
Americas	16	26	42
Asia Pacific	11	21	32
Total	111	116	227

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.

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

	Female	Male	Total
EMEA	68	65	133
Americas	10	18	28
Asia Pacific	10	14	24
Total	88	97	185

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.

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 Board¹ 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^{1,2}

	2020	2019
Recordable work-related injuries (employees)	119	227
Relative frequency of work-related injuries per 1,000,000 theoretical working hours (employees)	9.4	20.2
Work-related injuries with a serious outcome ³	0	0
Fatal occupational accidents	0	0

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

2 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.

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.

1 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 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 Department¹ 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.² 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^{1,2,3}

	EMEA	Americas	Asia Pacific	Total
Women	8.3	5.2	11.0	8.1
Men	10.0	6.1	14.0	10.0
Total	9.3	5.8	13.1	9.3

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.

1 Refers to the Sartorius Group.

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

404-3**Percentage of Employees Receiving Regular Performance and Career Development Reviews****Percentage of Employees who Received a Performance Review by Gender^{1,2}**

	2020
Female	31%
Male	28%
Total	29%

1 Employee figures are shown as headcount.

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

405 Diversity and Equal Opportunity

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 39.5% of the total workforce, which is a slight increase over the previous year.

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

Members of Governance Bodies by Gender and Age Group^{1,2}

	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, 2020.

Employees by Employee Category, Gender and Age Group^{1,2}

	Management	Employees	Total
Female	5.2%	34.2%	39.5%
≤ 29 years	0.2%	8.8%	9.0%
30 - 49 years	3.5%	18.2%	21.8%
≥ 50 years	1.5%	7.2%	8.6%
Male	10.5%	50.1%	60.5%
≤ 29 years	0.4%	11.0%	11.5%
30 - 49 years	6.8%	29.1%	35.9%
≥ 50 years	3.2%	10.0%	13.2%
Total	15.7%	84.3%	100.0%

1 Reports for 2020.

2 Employee figures are shown as headcount.

Employees with Disabilities¹

	2020	2019
Employees with disabilities	148	152

1 Employee figures are shown as headcount.

405-2

Ratio of Basic Salary and Remuneration of Women to Men

Ratio of Remuneration of Women to Men by Employee Category^{1,2,3,4}

Country	Employees	Management	Total
China	90%	105%	93%
France	102%	88%	97%
Germany	100%	96%	94%
India	86%	91%	81%
Puerto Rico	98%	83%	88%
Tunisia	88%	59%	72%
UK	71%	80%	72%
USA	82%	69%	75%
Group	90%	82%	85%

1 Reports for 2020.

2 The ratio is based on the average total compensation target. The total compensation target is defined as the sum of the annual base salary target and the annual bonus target amount. For part-time employees the total compensation target is calculated up to one full-time equivalent.

3 In countries with large facilities in terms of the number of employees.

4 We consider employees, whose salary is paid out in the standard local currency.

406 Non-Discrimination

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Management Approach

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

Sartorius 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.

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.¹

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.

412-2

Employee Training on Human Rights Policies or Procedures

During the period under review, 2,232 employees from 27 countries completed training for the Code of Conduct. The Sartorius Code of Conduct is based on international agreements and guidelines, including the Universal Declaration of Human Rights, the conventions of the International Labor Organization (ILO) and the United Nations Global Compact. The hours spent on training amounted to 1,339 for the Code of Conduct. Compliance training course are currently available in German, English, French and Chinese.

414 Supplier Social Assessment

103

Management Approach

Respect for human rights, the maintenance of high environmental standards and good, safe and fair working conditions for the production of our products is important to us, and apply to sites outside our own production as well. With more than 8,000 suppliers in more than 40 countries and a purchasing volume that corresponds to about 40 percent of our sales revenue², 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.

¹ Refers to the Sartorius Group.

² Refers to the sales and purchasing volume of the Sartorius Group in 2019.

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 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.¹

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.

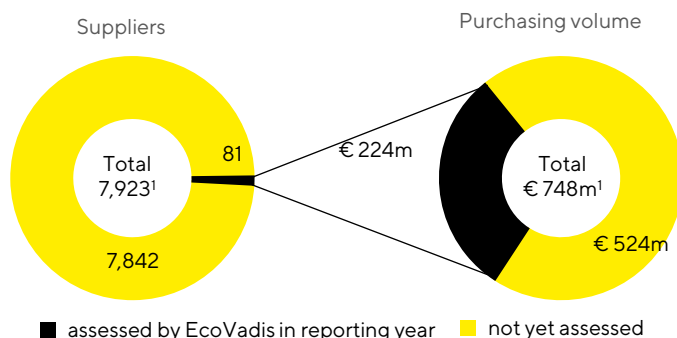
414-2

Negative Social Impacts in the Supply Chain and Actions Taken

In 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^{1,2}. In 2021, we will be talking with suppliers who refused an EcoVadis assessment or whose assessment has expired.

¹ 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.

² Purchasing volume of the Sartorius Group in 2019.



¹ Purchasing volume and number of suppliers of the Sartorius Group in 2019.

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 were very limited; the same applies to processes still being designed. Four ESG quick checks were carried out; due to the COVID-19-related travel restrictions, the audited suppliers were based in Germany.¹ 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.

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

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.

¹ Refers to the Sartorius Group.

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.¹ 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.

¹ Refers to the Sartorius Group.

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 20 of the Universal Registration Document 2020. Pages 32 et seq. of the Universal Registration Document 2020 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 29.

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.¹

¹ Refers to the Sartorius Group.

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

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