

QIAGEN N.V.



2020

GRI CONTENT INDEX AND  
SUSTAINABILITY ACCOUNTING STANDARDS  
BOARD (SASB) INDEX

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The following GRI Context Mapping refers to the following documents that are available for download at [www.qiagen.com](http://www.qiagen.com):

→ QIAGEN 2020 Annual Financial Report

→ QIAGEN 2019 Annual Report

→ QIAGEN 2020 Sustainability Report

# GRI content index

## GRI 102: General Disclosures 2016

### GRI 102-1: Name of the Organization

Qiagen N.V.

### GRI 102-2: Activities, brands, products, and services

See 2020 Annual Financial Report: Business and Operating Environment p. 22

See 2020 Annual Financial Report: Our Products pp. 24-28

### GRI 102-3: Location of headquarters

Venlo, Netherlands

### GRI 102-4: Location of operations

See 2020 Annual Financial Report: Global Presence by Category of Activity and Geographic Market pp. 30-31

See 2020 Annual Financial Report: Organizational Structure p. 44

### GRI 102-5: Ownership and legal form

See 2020 Annual Financial Report: Key Share Data p. 19

See 2020 Annual Financial Report: Business and Operating Environment in 2020 p. 22

### GRI 102-6: Markets served

See 2020 Annual Financial Report: Principal Markets pp. 29-30

See 2020 Annual Financial Report: Global Presence by Category of Activity and Geographic Market pp. 30-31

### GRI 102-7: Scale of the organization

See 2020 Annual Financial Report: Our Products p. 24

See 2020 Annual Financial Report: Results of Operations p. 63

See 2020 Annual Financial Report: Consolidated Financial Statements pp. 124-127

### GRI 102-8: Information on employees and other workers

See 2020 Annual Financial Report: Non-Financial Statement: Employees p. 107

### GRI 102-9: Supply chain

See 2020 Annual Financial Report: Suppliers pp. 31-32

## **GRI 102-10: Significant changes to the organization and its supply chain**

See 2020 Annual Financial Report: Recent Acquisitions p. 64

See 2020 Annual Financial Report: Acquisitions and Divestitures p. 150

## **GRI 102-11: Precautionary Principle or approach**

See 2020 Annual Financial Report: Risk Management p. 46

## **GRI 102-12: External initiatives**

See 2020 Annual Financial Report: Non-Financial Statement: Our Approach to Sustainability p. 102

See 2020 Annual Financial Report: Non-Financial Statement: Human Rights p. 110

## **GRI 102-13: Membership of associations**

See 2020 Annual Financial Report: Non-Financial Statement: Data and Cyber Security p. 112

See 2020 Annual Financial Report: Non-Financial Statement: Access to Healthcare p.119

## **GRI 102-14: Statement from senior decision-maker**

See Sustainability Report 2020: pp. 3-5

## **GRI 102-15: Key impacts, risks, and opportunities**

See 2020 Annual Financial Report: Non-Financial Statement: Our Approach to Sustainability p. 102

## **GRI 102-16: Values, principles, standards, and norms of behavior**

Sample to Insight is our strategic framework that puts the needs and challenges of our customers front and center.

We identify the key challenges holding customers back and deliver solutions so they can achieve greater success, ultimately helping them exceed their own expectations and gain the insights critical for their work.

See 2020 Annual Financial Report: Human Resources p. 75

See 2020 Annual Financial Report: Non-Financial Statement: Employees p. 107

See 2020 Annual Financial Report: Non-Financial Statement: Compliance p. 116

## **GRI 102-17: Mechanisms for advice and concerns about ethics**

See 2020 Annual Financial Report: Risks pp. 58-59

See 2020 Annual Financial Report: Non-Financial Statement: Compliance pp. 116-117

## **GRI 102-18: Governance structure**

See 2020 Annual Financial Report: Corporate Structure p. 82

See 2020 Annual Financial Report: Supervisory Board pp. 84-88

## **GRI 102-40: List of stakeholder groups**

We seek an open dialogue with our stakeholders including our employees, shareholders, customers, business partners, governments, regulators, tax authorities, NGOs, and the communities in which we operate.

## **GRI 102-41: Collective bargaining agreements**

3.72% of our employees are covered by collective bargaining agreements.

## **GRI 102-42: Identifying and selecting stakeholders**

QIAGEN serves over 500,000 customers globally. In this process, the company comes into contact with a variety of internal and external stakeholders. These include, but are not limited to, employees and their representatives including local workers councils, customers, shareholders, suppliers, journalists, governments, and non-government agencies.

## **GRI 102-43: Approach to stakeholder engagement**

See 2020 Annual Financial Report: Non-Financial Statement: Material Non-financial Information p. 103

For management purposes, we also work on the basis of defined material topics relating to sustainability. In the reporting period, we reviewed the materiality analysis first conducted in 2019.

Please refer to our Non-Financial Statement 2019 for a detailed description of the procedure.

## **GRI 102-44: Key topics and concerns raised**

See 2020 Annual Financial Report: Non-Financial Statement: Material Non-financial Information p. 103

Please refer to the Non-Financial Statement of our 2019 Annual Report for a detailed description of procedure.

## **GRI 102-45: Entities included in the consolidated financial statements**

See 2020 Annual Financial Report: Organizational Structure p. 44

See 2020 Annual Financial Report: List of Subsidiaries p. 194

## **GRI 102-46: Defining report content and topic boundaries**

See 2020 Annual Financial Report: Non-Financial Statement: Material Non-financial Information p. 103

Please refer to the Non-Financial Statement of our 2019 Annual Report for a detailed description of procedure.

## **GRI 102-47: List of material topics**

See 2020 Annual Financial Report: Non-Financial Statement: Material Non-financial Information p. 103

Please refer to the Non-Financial Statement of our 2019 Annual Report for a detailed description of procedure.

## **GRI 102-48: Restatements of information**

No changes, as initial report.

## **GRI 102-49: Changes in reporting**

No changes, as initial report.

## **GRI 102-50: Reporting period**

January 1 – December 31, 2020.

## **GRI 102-51: Date of most recent report**

No changes, as initial report.

## **GRI 102-52: Reporting cycle**

Annually.

## **GRI 102-53: Contact point for questions regarding the report**

Michael Moeller – QIAGEN / Michael.Moeller@qiagen.com

Kate Bailey – QIAGEN / Kate.Bailey@qiagen.com

## **GRI 102-54: Claims of reporting in accordance with the GRI Standards**

This report has been prepared in accordance with the GRI Standards: Core option.

## **GRI 102-55: GRI Content Index**

This report is structured in accordance with the GRI Standards (2016, 2018 & 2019); therefore no additional GRI Content Index is provided.

## **GRI 102-56: External assurance**

See 2020 Annual Financial Report: Auditor's Report pp. 195-198

# GRI 200: Economic

## GRI 201: Economic Performance 2016

### **GRI 103: Management approach (including 103-1, 103-2, 103-3)**

See 2020 Annual Financial Report: Non-Financial Statement 2020: Our Approach to Sustainability p. 102

### **GRI 201-1: Direct economic value generated and distributed**

See 2020 Annual Financial Report: Consolidated Financial Statement p. 126

### **GRI 201-2: Financial implications and other risks and opportunities due to climate change**

See 2020 Annual Financial Report: Non-Financial Statement 2020: Environment p. 103

### **GRI 201-4: Financial assistance received from government**

See 2020 Annual Financial Report: Non-Financial Statement: Financial Assistance from Governments p. 115

See 2020 Annual Financial Report: Non-Financial Statement: COVID-19 Related Grants p. 115

## GRI 205: Anti-Corruption 2016

### **GRI 103: Management approach (including 103-1, 103-2, 103-3)**

See 2020 Annual Financial Report: Compliance with Fraud and Abuse Laws pp. 39-41

See 2020 Annual Financial Report: Risks pp. 58-59

See 2020 Annual Financial Report: Non-Financial Statement: Compliance pp. 116-117

### **GRI 205-1: Operations assessed for risk related to corruption**

See 2020 Annual Financial Report: Non-Financial Statement: Compliance p. 116

### **GRI 205-3: Confirmed incidents of corruption and actions taken**

See 2020 Annual Financial Report: Non-Financial Statement: Compliance p. 117

In the reporting period, QIAGEN had 0 (none) legal actions pending or completed regarding antitrust or corruption.

## **GRI 206: Anti-competitive Behavior 2016**

### **GRI 103: Management approach (including 103-1, 103-2, 103-3)**

See 2020 Annual Financial Report: Compliance with Fraud and Abuse Laws pp. 39-41

See 2020 Annual Financial Report: Risks pp. 58-59

See 2020 Annual Financial Report: Non-Financial Statement: Compliance pp. 116-117

### **GRI 206-1: Legal actions for anti-competitive behavior, anti-trust, and monopoly practices**

See 2020 Annual Financial Report: Non-Financial Statement: Compliance p. 117

In the reporting period, QIAGEN had 0 (none) legal actions pending or completed regarding antitrust or corruption.

## **GRI 207: Tax 2019**

### **GRI 103: Management approach (including 103-1, 103-2, 103-3)**

See 2020 Annual Financial Report: Non-Financial Statement: QIAGEN's Approach to Tax pp. 112-114

### **GRI 207-1: Approach to tax**

See 2020 Annual Financial Report: Non-Financial Statement: QIAGEN's Approach to Tax pp. 112-114

### **GRI 207-2: Tax governance, control, and risk management**

See 2020 Annual Financial Report: Non-Financial Statement: QIAGEN's Approach to Tax pp. 112-114

### **GRI 207-3: Stakeholder engagement and management of concerns related to tax**

See 2020 Annual Financial Report: Non-Financial Statement: QIAGEN's Approach to Tax pp. 112-114

### **GRI 207-4: Country-by-country reporting**

See 2020 Annual Financial Report: Non-Financial Statement: Payments to Government for Income Taxes pp. 114-115



# GRI 300: Environmental

## GRI 301: Materials 2016

### **GRI 103: Management approach (including 103-1, 103-2, 103-3)**

See 2020 Annual Financial Report: Non-Financial Statement: Environment pp. 103-106

### **GRI 301-1: Materials used by weight or volume**

QIAGEN does not yet collect weight or volume data on raw material, auxiliary materials, or semi-finished products. This information will be available by 2024.

Currently, only information on external plastic packaging is available. In 2020, QIAGEN used 205 tons of plastic material for shipping products. All packaging data will be collected and available for reporting by 2022.

See also 2020 Annual Financial Report: Non-Financial Statement: Plastic Footprint Reduction p. 106

## GRI 302: Energy 2016

### **GRI 103: Management approach (including 103-1, 103-2, 103-3)**

See 2020 Annual Financial Report: Non-Financial Statement: Environment pp. 103-106

### **GRI 302-1: Energy consumption within the organization**

See 2020 Annual Financial Report: Non-Financial Statement: Environmental Performance p. 105

### **GRI 302-2: Energy consumption outside of the organization**

Energy and emission data for Scope 3 upstream and downstream categories are not currently collected. This information will be available in 2022.

### **GRI 302-3: Energy intensity**

See 2020 Annual Financial Report: Non-Financial Statement: Environmental Performance p. 105

# GRI 303: Water and Effluents 2018

## GRI 103: Management approach (including 103-1, 103-2, 103-3)

See 2020 Annual Financial Report: Non-Financial Statement: Environment pp. 103-106

### GRI 303-1: Interactions with water as a shared resource

Water is used for typical office activities, processes during manufacturing and within certain products, such as buffers. Over 80% of water used by QIAGEN is taken from public utilities in Germantown, U.S., and Hilden, Germany. Information on the water sources for all sites will be collected by 2022.


Wastewater is discharged in accordance with local regulations and may be evaporated through chillers or discharged into the public utility. If water is contaminated, it goes through a process water waste treatment system before entering the public utility or is disposed of as hazardous waste.

Currently there is no overarching global procedure or process for identifying or addressing runoff/process water impacts or water consumption. Water-related objectives are handled on a site-by-site basis in accordance with local regulations.

### GRI 303-2: Management of water discharge related impacts

Currently there is no global standard; the minimum effluent discharge quality is determined on a site-by-site basis in accordance with local regulations.

### GRI 303-5: Water consumption

QIAGEN consumed 113.74 megaliters of water in 2020. This data was compiled primarily from water bills, as well as estimations for shared buildings. 9.05 megaliters were extracted from areas classified as medium-high, high or extremely high-water stress by  World Resources Institute Aqueduct.

#### Water consumption

Water stress level of site (As determined through WRI Aqueduct)	QIAGEN water consumption (megaliters)
Low	93.15
Low-medium	11.54
Medium-high	2.53
High	4.49
Extremely high	2.02
<b>Total</b>	<b>113.74</b>

Water storage has not been determined to cause significant wastewater or process water-related impacts.

See also Non-Financial Statement 2020: Environmental Performance p. 105

# GRI 305: Emissions 2016

## GRI 103: Management approach (including 103-1, 103-2, 103-3)

See 2020 Annual Financial Report: Non-Financial Statement: Environment pp. 103-106

## GRI 305-1: Direct (Scope 1) GHG emissions

See 2020 Annual Financial Report: Non-Financial Statement: Environmental Performance pp. 104-105

QIAGEN's emissions were calculated in terms of CO<sub>2e</sub> with emission factors including CO<sub>2</sub>, CH<sub>4</sub> and N<sub>2</sub>O. For the location-based emission factors, those published by the VDA were used, which are provided by thinkstep – Sphera.

For the market-based emission factors, those provided by the corresponding utility (for sites in EU and USA) were used. For the emission factors (residual mix), AIB and Green-e were used. Where no emission factors from the utility or for the residual mix were available, the emission factors (location-based) from the GHG Protocol (by thinkstep – Sphera) were used.

## GRI 305-2: Energy indirect (Scope 2) GHG emissions

See 2020 Annual Financial Report: Non-Financial Statement: Environmental Performance pp. 104-105

QIAGEN's emissions were calculated in terms of CO<sub>2e</sub> with emission factors including CO<sub>2</sub>, CH<sub>4</sub> and N<sub>2</sub>O. For the location-based emission factors, those published by the VDA were used, which are provided by thinkstep – Sphera.

For the market-based emission factors, those provided by the corresponding utility (for sites in EU and USA) were used. For the emission factors (residual mix), AIB and Green-e were used. Where no emission factors from the utility or for the residual mix were available, the emission factors (location-based) from the GHG Protocol (by thinkstep – Sphera) were used.

## GRI 305-3: Other indirect (Scope 3) GHG emissions

See 2020 Annual Financial Report: Non-Financial Statement: Environmental Performance pp. 104-105

QIAGEN's emissions were calculated in terms of CO<sub>2e</sub> with emission factors including CO<sub>2</sub>, CH<sub>4</sub> and N<sub>2</sub>O. For the location-based emission factors, those published by the VDA were used, which are provided by thinkstep – Sphera.

For the market-based emission factors, those provided by the corresponding utility (for sites in EU and U.S.) were used. For the emission factors (residual mix), AIB and Green-e were used. Where no emission factors from the utility or for the residual mix were available, the emission factors (location-based) from the GHG Protocol (by thinkstep – Sphera) were used.

## GRI 305-4: GHG emissions intensity

See 2020 Annual Financial Report: Non-Financial Statement: Environmental Performance p. 104

QIAGEN's emissions were calculated in terms of CO<sub>2e</sub> with emission factors including CO<sub>2</sub>, CH<sub>4</sub> and N<sub>2</sub>O.

## GRI 305-5: Reduction of GHG emissions

See 2020 Annual Financial Report: Non-Financial Statement: Environment p. 106

QIAGEN's emissions were calculated in terms of CO<sub>2e</sub> with emission factors including CO<sub>2</sub>, CH<sub>4</sub> and N<sub>2</sub>O.

## **GRI 306: Waste 2020**

### **GRI 103: Management approach (including 103-1, 103-2, 103-3)**

See 2020 Annual Financial Report: Non-Financial Statement: Environment pp. 103-106

### **GRI 306-1: Waste generation and significant waste-related impacts**

The raw materials, process and manufacturing materials, waste, byproducts, products and packaging used in QIAGEN's products have potential impacts across the value chain. A comprehensive assessment of waste generated throughout QIAGEN's value chain will be available in 2022.

Examples of how QIAGEN reduces waste throughout the value chain include: redesigning packaging and products to use fewer materials, efficiency improvements in manufacturing, electronics recycling and digitization.

QIAGEN contracts with third-party waste collectors. The process for selecting these third parties is handled on a site-by-site basis and is not subject to a global policy. An audit trail is used in accordance with EU requirements.

Company-wide waste data is collected on an annual basis, but many sites monitor their waste on a monthly or more frequent basis.

See also 2020 Annual Financial Report: Non-Financial Statement: Environmental Performance p. 105

### **GRI 306-2: Management of significant waste-related impacts**

The raw materials, process and manufacturing materials, waste, byproducts, products and packaging used in QIAGEN's products have potential impacts across the value chain. A comprehensive assessment of waste generated throughout QIAGEN's value chain will be available in 2022.

Examples of how QIAGEN reduces waste throughout the value chain include: redesigning packaging and products to use fewer materials, efficiency improvements in manufacturing, electronics recycling and digitalization.

QIAGEN contracts with third-party waste collectors. The process for selecting these third parties is handled on a site-by-site basis and is not subject to a global policy. An audit trail is used in accordance with EU requirements.

Company-wide waste data is collected on an annual basis, but many sites monitor their waste on a monthly or more frequent basis.

### **GRI 306-3: Waste generated**

See 2020 Annual Financial Report: Non-Financial Statement: Environmental Performance p. 105

## **GRI 308: Supplier Environmental Assessment 2016**

### **GRI 103: Management approach (including 103-1, 103-2, 103-3)**

See 2020 Annual Financial Report: Non-Financial Statement: Sustainable Supply Chain Management pp. 110-112

See 2020 Annual Financial Report: Non-Financial Statement: Plastic Footprint Reduction p. 106

### **GRI 308-1: New suppliers that were screened using environmental criteria**

New suppliers were not screened on the basis of environmental criteria in 2020. These criteria are being amended in 2021.

### **GRI 308-2: Negative environmental impacts in the supply chain and actions taken**

See 2020 Annual Financial Report: Non-Financial Statement: Sustainable Supply Chain Management pp. 111-112

No data is available on the environmental impacts of suppliers, but will be collected in the long term. This information is expected to be available in 2022.

# GRI 400: Social

## GRI 401: Employment 2016

### GRI 103: Management approach (including 103-1, 103-2, 103-3)

See 2020 Annual Financial Report: Non-Financial Statement: Employees pp. 107-110

### GRI 401-1: New employee hires and employee turnover

See 2020 Annual Financial Report: Non-Financial Statement: Employees pp. 107-110

#### Employees hires and turnover

<b>Global</b>	<b>2020</b>
December headcount	5,630
Hires	1,250
Terminations	716
Hires as % of headcount	22.2%
Turnover	13.6%

#### Employees by region

	<b>2020</b>		
Region	<b>AMERICAS</b>	<b>APAC</b>	<b>EMEA</b>
December headcount	1,327	1,224	3,079
Hires	372	223	655
Terminations	171	140	405
Hires as % of headcount	28.0%	18.2%	21.3%
Turnover	14.5%	11.7%	14.0%

#### Employees by gender

	<b>2020</b>	
Gender	<b>Female</b>	<b>Male</b>
December headcount	2,717	2,913
Hires	592	658
Terminations	341	375
Hires as % of headcount	<b>21.8%</b>	<b>22.6%</b>
Turnover	<b>13.3%</b>	<b>13.8%</b>

#### Employees by age group

	<b>2020</b>			
Age group	<b>under 25</b>	<b>25 to 39</b>	<b>40 to 60</b>	<b>60 plus</b>
December headcount	187	2,936	2,312	195
Hires	162	751	314	23
Terminations	23	391	267	35
Hires as % of headcount	<b>86.6%</b>	<b>25.6%</b>	<b>13.6%</b>	<b>11.8%</b>
Turnover	<b>15.3%</b>	<b>14.1%</b>	<b>12.2%</b>	<b>20.3%</b>

## **GRI 402: Labor/Management Relations 2016**

### **GRI 103: Management approach (including 103-1, 103-2, 103-3)**

See 2020 Annual Financial Report: Non-Financial Statement: Employees p. 107  
See 2020 Annual Financial Report: Non-Financial Statement: Human Rights p. 110

### **GRI 402-1: Minimum notice periods regarding operational changes**

Our goal is always to inform employees about significant operational changes as early as possible and in alignment with local and legal requirements as well as collective agreements. Compliance is always at the forefront of our business decisions. In most cases we provide employees with more notice than required.

## **GRI 403: Occupational Health and Safety 2018**

### **GRI 103: Management approach (including 103-1, 103-2, 103-3)**

See 2020 Annual Financial Report: Non-Financial Statement: Employees pp. 107-110

### **GRI 403-1: Occupational health and safety management system**

See 2020 Annual Financial Report: Non-Financial Statement: Occupational Safety and Health Protection pp. 109-110

### **GRI 403-2: Hazard identification, risk assessment, and incident investigation**

See 2020 Annual Financial Report: Non-Financial Statement: Occupational Safety and Health Protection pp. 109-110

Procedures and processes for identifying work-related hazards and for assessing risks are handled on a site location basis. Each site has its own risk assessment process, and supervisor and employee training. Currently there is no overarching global procedure or process. The global process is in the implementation and planning phase and forms part of the global implementation roadmap with the goal of 2024.

Procedures for reporting work-related hazards and hazardous situations are handled on a site location basis. The global process is being implemented as part of the global implementation roadmap with the goal of 2021.

Employees in Germany are protected against retribution when leaving a dangerous situation by § 9, (3) of the "Act on the Implementation of Measures of Occupational Safety and Health to Encourage Improvements in the Safety and Health Protection of Workers at Work" (ArbSchG).

The procedures and processes for investigating work-related incidents are handled on a site location basis. The global process is being implemented as part of the global implementation roadmap with the goal of 2021.

### **GRI 403-3: Occupational health services**

The functions of occupational health services vary between sites. This information exists and will be reported by 2024.

### **GRI 403-4: Worker participation, consultation, and communication on occupational health and safety**

Employees are involved in OHS management through the joint management-worker Health and Safety Committee (meets quarterly), regular safety inspections including interviews with employees, and two-way communication through the official EHS email address.

### **GRI 403-5: Worker training on occupational health and safety**

OHS training is managed on a regional basis. This information exists and will be reported by 2024.

### **GRI 403-6: Promotion of worker health**

See 2020 Annual Financial Report: Non-Financial Statement: Employees pp. 108-109

### **GRI 403-7: Prevention and mitigation of occupational health and safety impacts directly linked by business relationships**

See 2020 Annual Financial Report: Non-Financial Statement: Sustainable Supply Chain Management pp. 111-112

See 2020 Annual Financial Report: Non-Financial Statement: Quality and Product Safety pp. 117-118

### **GRI 403-9: Work-related injuries**

See 2020 Annual Financial Report: Non-Financial Statement: Occupational Safety and Health Protection pp. 109-110

In 2020, there were 29 work-related injuries with serious consequences other than fatalities, or 1.0 per 100 employees.

## **GRI 404: Training and Education 2016**

### **GRI 103: Management approach (including 103-1, 103-2, 103-3)**

See 2020 Annual Financial Report: Non-Financial Statement: Employees p. 107

### **GRI 404-2: Programs for upgrading employee skills and transition assistance programs**

See 2020 Annual Financial Report: Non-Financial Statement: Employees p. 107



## GRI 405: Diversity and Equal Opportunity 2016

### GRI 103: Management approach (including 103-1, 103-2, 103-3)

See 2020 Annual Financial Report: Non-Financial Statement: Diversity p. 108

### GRI 405-1: Diversity of governance bodies and employees

See 2020 Annual Financial Report: Non-Financial Statement: Diversity p. 108

On average, 32% of leadership positions were held by women worldwide. For a more detailed breakdown of per job level see table below.

#### Women in leadership positions

Job level	Share of women
Executive Committee	14%
Leadership Team	16%
Senior Management	23%
Management	37%
Professional Level	47%
Associate	60%
n/a	46%

Breakdown of diversity of governance bodies and employee categories by age group:

#### Leadership positions by age group

Job level	< 30 years	30-50 years	> 50 years	Total
Executive Committee		42.9%	57.1%	100%
Leadership Team		12.0%	88.0%	100%
Senior Management		42.0%	58.0%	100%
Management	0.2%	59.4%	40.4%	100%
Professional Level	13.2%	71.8%	15.0%	100%
Associate	30.6%	52.2%	17.3%	100%
n/a	38.2%	33.7%	28.1%	100%

## GRI 412: Human Rights Assessment 2016

### GRI 103: Management approach (including 103-1, 103-2, 103-3)

See 2020 Annual Financial Report: Non-Financial Statement: Human Rights p. 110

See 2020 Annual Financial Report: Non-Financial Statement: Business Ethics p. 112

### GRI 412-2: Employee training on human rights policies or procedures

See 2020 Annual Financial Report: Non-Financial Statement: Employees p. 107

See 2020 Annual Financial Report: Non-Financial Statement: Human Rights p. 110

See 2020 Annual Financial Report: Non-Financial Statement: Sustainable Supply Chain Management pp. 110-111

## **GRI 414: Supplier Social Assessment 2016**

### **GRI 103: Management approach (including 103-1, 103-2, 103-3)**

See 2020 Annual Financial Report: Non-Financial Statement: Sustainable Supply Chain Management pp. 110-112

### **GRI 414-2: Negative social impacts in the supply chain and actions taken**

See 2020 Annual Financial Report: Non-Financial Statement: Sustainable Supply Chain Management pp. 111-112

Our Procurement Policy includes specific expectations on suppliers to respect human rights. All contracted suppliers are expected to provide a workplace with fair treatment and free of discrimination. The Policy further prohibits all kinds of child labor, forced, bonded and indentured labor.

Supplier audits are conducted if non-compliance is suspected. Audits are conducted on site at least every three years for all "A"-categorized direct suppliers. Audits are documented and results are shared with audited suppliers. To our knowledge, there were no violations regarding corporate governance or environmental and social standards in the reporting period.

## **GRI 416: Customer Health and Safety 2016**

### **GRI 103: Management approach (including 103-1, 103-2, 103-3)**

See 2020 Annual Financial Report: Non-Financial Statement: Quality and Product Safety pp. 117-118

### **GRI 416-1: Assessment of the health and safety impacts of product and service categories**

See 2020 Annual Financial Report: Non-Financial Statement: Quality and Product Safety pp. 117-118

### **GRI 416-2: Incidents of non-compliance concerning the health and safety impacts of products and services**

See 2020 Annual Financial Report: Non-Financial Statement: Quality and Product Safety p. 118

## **GRI 417: Marketing and Labeling 2016**

### **GRI 103: Management approach (including 103-1, 103-2, 103-3)**

See 2020 Annual Financial Report: Non-Financial Statement: Quality and Product Safety pp. 117-118

### **GRI 417-1: Requirements for product and service information and labeling**

See 2020 Annual Financial Report: Non-Financial Statement: Quality and Product Safety pp. 118

### **GRI 417-2: Incidents of non-compliance concerning product and service information and labeling**

See 2020 Annual Financial Report: Non-Financial Statement: Quality and Product Safety pp. 117-118

## **GRI 418: Customer Privacy 2016**

### **GRI 103: Management approach (including 103-1, 103-2, 103-3)**

See 2020 Annual Financial Report: Risks pp. 51-52

See 2020 Annual Financial Report: Non-Financial Statement: Data and Cyber Security p. 112

### **GRI 418-1: Substantiated complaints concerning breaches of customer privacy and losses of customer data**

In 2020 QIAGEN did not experience any breaches of customer data privacy, cases of data theft or data loss related to customer data.

# Sustainability Accounting Standards Board (SASB) Index

This SASB Index refers to the following documents that are available for download at the company website: [🔗 QIAGEN 2020 Annual Financial Report](#)

Topic	Accounting metric	Code	Content/Report/Location
<b>Affordability &amp; Pricing</b>	Ratio of weighted average rate of net price increases (for all products) to the annual increase in the U.S. Consumer Price Index	HC-MS-240a.1	Not yet reported
	Description of how price information for each product is disclosed to customers or to their agents	HC-MS-240a.2	Not yet reported
<b>Product Safety</b>	Number of recalls issued, total units recalled	HC-MS-250a.1	See 2020 Annual Financial Report: Non-Financial Statement: Quality and Product Safety p. 118
	List of products listed in the FDA's MedWatch Safety Alerts for Human Medical Products database	HC-MS-250a.2	In 2020, no QIAGEN products were listed in the U.S. FDA's MedWatch Safety Alerts for Human Medical Products database.
	Number of fatalities related to products as reported in the FDA Manufacturer and User Facility Device Experience	HC-MS-250a.3	There were no fatalities related to products as reported in the FDA Manufacturer and User Facility Device Experience.
	Number of FDA enforcement actions taken in response to violations of current Good Manufacturing Practices (cGMP), by type	HC-MS-250a.4	In 2020, one QIAGEN site was inspected by the U.S. Food and Drug Administration (FDA) to verify compliance with Good Manufacturing Practice (GMP) as described in 21 CFR 820.  After the FDA inspection in January 2020, no FDA 483 Inspectional Observations were issued.

Topic	Accounting metric	Code	Content/Report/Location
<b>Ethical Marketing</b>	Total amount of monetary losses as a result of legal proceedings associated with false marketing claims	HC-MS-270a.1	QIAGEN was not subject to any legal proceedings regarding the U.S. False Claims Act or any other false marketing claims laws in any country during the reporting period.
	Description of code of ethics governing and promotion of off-label use of products	HC-MS-270a.2	Sec. 3 C of QIAGEN's Code of Conduct and Ethics (the "Code") provides clear guidance on our principles on ethical marketing in terms of non-disparagement of competitors and non-disruption of competitors' business. It also defines QIAGEN's position on unfair practices in international business (Sec. 3 E) and payments to governmental officials (Sec. 4 B). Additional and more detailed guidance is provided on general rules, e.g. for marketing communication to all customers (incl. off-label use) or compliance with the U.S. Sunshine Act, in the Global Legal Framework for Sales and Marketing Activities Policy (the "Marketing Policy"). As per QIAGEN Standard Operating Procedure GLO-SOP-52-01-005 Rev.04 off-label promotion is defined as the marketing of products for an unapproved use. It requires that promotion of IVD/Regulated Products must be in compliance with relevant regulations and consistent with intended uses. All product claims must be substantiated. Any violation of the policy by employees may trigger disciplinary action including termination of employment. To proactively ensure compliance, the Marketing Policy defines a process for the review and clearance of all marketing and sales promotion materials by QIAGEN's Sales Compliance Manager and the Regulatory department and we provide training to the sales and marketing teams on our Marketing Policy. To ensure compliance with applicable law, the Code and QIAGEN's policies, we have implemented a comprehensive mandatory e-learning program which is reviewed at least on a yearly basis and adjusted accordingly to the latest developments in this field. To raise awareness about most recent compliance-related events, we have introduced a quarterly Compliance Newsletter.
<b>Product Design &amp; Lifecycle Management</b>	Discussion of process to assess and manage environmental and human health considerations associated with chemicals in products, and meet demand for sustainable products	HC-MS-410a.1	See 2020 Annual Financial Report: Non-Financial Statement: Quality and Product Safety pp. 117-118  See 2020 Annual Financial Report: Non-Financial Statement: Product Life Cycle Assessment p. 106
	Total amount of products accepted for take-back and reused, recycled, or donated, broken down by: (1) devices and equipment and (2) supplies	HC-MS-410a.2	Not yet reported; data is expected to be available in 2022. The Waste Electrical Electronic Equipment Directive and regulations in ROW require that producers of WEEE have a take-back scheme at end of life. QIAGEN has processes to meet these obligations. By 2022, this process will be formally documented.

Topic	Accounting metric	Code	Content/Report/Location
<b>Supply Chain Management</b>	Percentage of (1) entity's facilities and (2) Tier I suppliers' facilities participating in third-party audit programs for manufacturing and product quality	HC-MS-430a.1	See Non-Financial Statement 2020: Sustainable Supply Chain Management pp. 110-112  100% of QIAGEN production sites are participating in 3rd audit programs (1), and 100% of our Class A suppliers either maintain a quality system certificate (ISO 9001/13485/170325) or are audited by QIAGEN's Supplier Quality unit (2).
	Description of efforts to maintain traceability within the distribution chain	HC-MS-430a.2	For each new batch of raw material, semi-finished goods and final products, a batch number is assigned that is unique to the material. For raw materials, either the supplier lot number is adopted into QIAGEN's ERP system or the ERP system assigns a new QIAGEN batch number. The combination of material number and batch number is unique. At each manufacturing step, a new batch number is assigned to the respective component by the ERP system. Batch numbers are printed on all sellable items and ensure full batch traceability from customer information to raw material.
	Description of the management of risks associated with the use of critical materials	HC-MS-430a.3	See 2020 Annual Financial Report: Non-Financial Statement: Conflict Minerals p. 112
<b>Business Ethics</b>	Total amount of monetary losses as a result of legal proceedings associated with bribery or corruption	HC-MS-510a.1	In the reporting period, QIAGEN had 0 (none) legal actions pending or completed regarding antitrust or corruption.
	Description of code of ethics governing interactions with health care professionals	HC-MS-510a.2	See 2020 Annual Financial Report: Non-Financial Statement: Compliance p. 116
<b>Activity metric</b>		<b>Code</b>	<b>Content/Report/Location</b>
<b>Number of units sold by product category</b>		HC-MS-000.A	Not yet reported

# Annex

## Imprint

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