

# Combined Non-financial report

» In short «


In 2020, the materiality analysis to identify material non-financial aspects for Jenoptik was updated. For this purpose, internal and external stakeholders were surveyed online.

The Combined Non-financial report meets the requirements of the CSR Directive Implementation Act.

# Separate Combined Non-financial Report in accordance with the CSR Directive Implementation Act

## Position and Business Model

Jenoptik sees its entrepreneurial activity as more than purely the realization of commercial objectives; it is equally a commitment to society and the environment. We work with our customers to create forward-looking trends in the fields of energy efficiency, healthcare, the environment, mobility, and safety. As an international technology company, innovation is our driving force and the basis of our success in business. Our products allow us to make significant contributions to overcoming the societal challenges we face as well as to the conservation and efficient use of resources.

Jenoptik provides the majority of its products and services to the photonics market and is a supplier of high-quality capital goods.  The Group is thus primarily a technology partner to industrial companies and public sector contractors. As a technical application of light, photonics is a key driver of global sustainability, according to the current SPECTARIS study "Light as a Key to Global Environmental Sustainability". Photonic technologies enable resource-saving production processes as well as energy savings and reduce material consumption. According to SPECTARIS, the use of photonic technologies will reduce global greenhouse gas emissions by at least 11 percent by 2030. Thanks to its product portfolio and sustainable internal company processes, Jenoptik is making a significant contribution to achieving the UN Sustainable Development Goals (SDGs).

## Our Take on Sustainability

Our understanding of sustainability is based on the conviction that we can only achieve our economic goals, thereby sustaining profitable growth, by behaving responsibly towards the environment and society. To satisfy this requirement, the issue of sustainability at Jenoptik falls within the remit of the Chairman of the Executive Board. The Investor Relations & Communications department is responsible for group-wide sustainability management at Jenoptik. The Executive Board, Supervisory Board and Audit Committee are regularly updated on current projects. The Sustainability Working Group – comprising repre-

sentatives of the Investor Relations & Communications, Human Resources, Environmental Management, Quality Management, Compliance & Risk Management as well as Finance departments – regularly discusses relevant cross-cutting issues.

What follows is information on sustainability issues which are essential to a better understanding of our business performance and the company's development in the future.

The separate Combined Non-financial Report published here serves the purpose of fulfilling the requirements of the CSR Directive Implementation Act (CSR-RL-UG) in accordance with § 289b (3) and 315b (3) of the German Commercial Code (HGB). The report covers the key issues in the areas of employees, the environment, social commitment, human rights and anti-corruption for both our external stakeholders and the company in the 2020 fiscal year. The information in the non-financial report applies equally to the Group and JENOPTIK AG; any information that differs is indicated. The description of the approaches set out here is guided by Standard 103 of the Global Reporting Initiative (GRI). This means that Jenoptik presents components such as goals, existing guidelines, responsibilities, but also specific measures such as projects, programs and initiatives within the scope of the description. The GRI standard served as an orientation aid for the selection of key figures, but was not used for further detailing. This includes information on the number of employees, employees on parental leave or the fluctuation rate. The materiality analysis and the risk assessment were prepared in accordance with the requirements of CSR-RL-UG. In accordance with § 315b (1) (3) of the German Commercial Code, reference is occasionally made to other information available in the Group Management Report. The list below shows all the passages in the Management Report that are relevant to the separate Combined Non-financial Report.

- Business model page 80
- Strategy page 84 ff
- R+D /Innovation management page 92 ff
- Risk & opportunities page 133
- Diversity policy page 43



More information on the business model and markets can be found in chapter 80 of this Annual Report

## Materiality Analysis

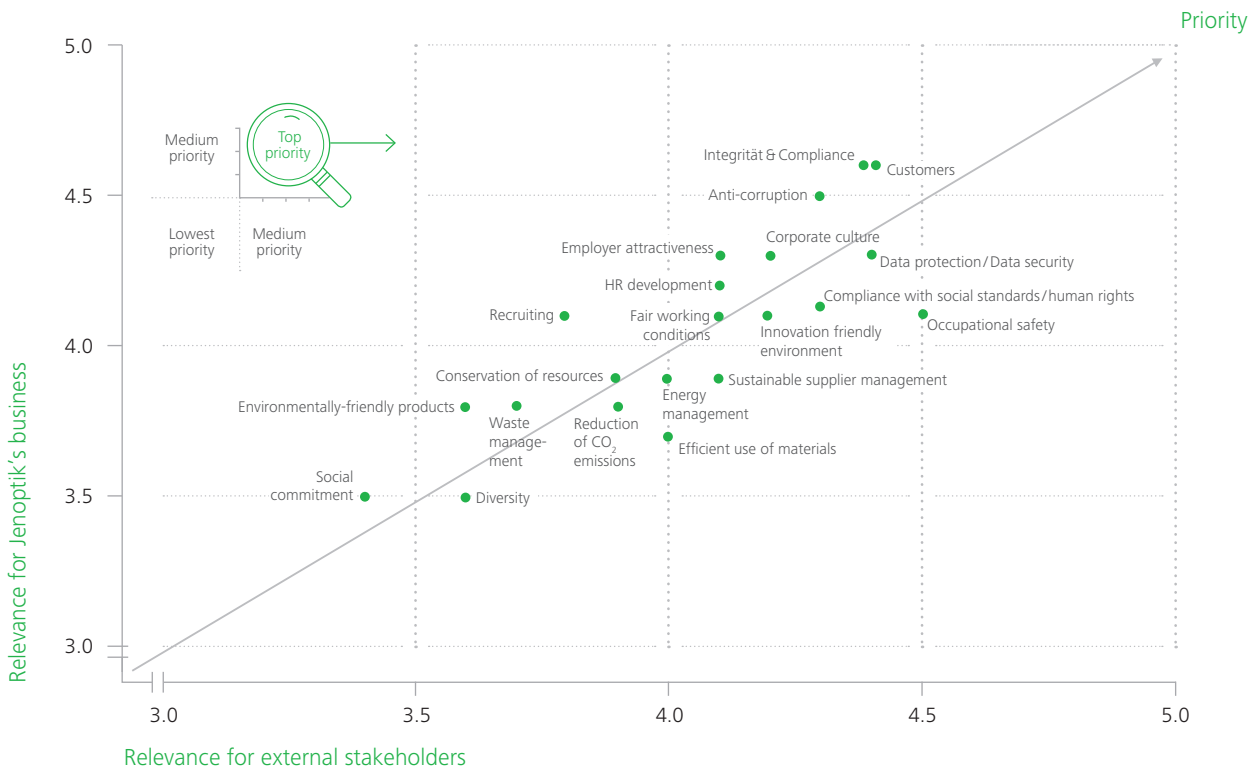
Jenoptik maintains ongoing dialog with all of its stakeholders. In 2020, the materiality analysis, last conducted in 2017, was updated through an online survey. All non-financial aspects which are essential for sustainable business development – both from Jenoptik’s perspective and from the perspective of the respective external target groups (customers and business partners, suppliers, employees, shareholders, investors and the general public) – were once again assessed independently. The results of the overall assessment are summarized in a materiality matrix. Topics in the upper right quadrant are particularly essential to the Group’s business development from the perspective of both Jenoptik and our stakeholders. Compared with the 2017 materiality analysis, topics such as sustainable supplier management, occupational safety, as well as energy management and the reduction of CO<sub>2</sub>, have increased in importance. Our materiality matrix forms the basis of all our long-term activities and is incorporated into the corporate strategy. The key non-financial topics are explained in detail in the sections below. G08 T12


The following overview reveals where Jenoptik sees its specific priorities in the value chain.

## Non-financial Targets

Our Strategy 2022 also goes hand in hand with a change in corporate culture towards a more open, agile and less complex company whose employees contribute to its success with commitment and motivation. The Jenoptik Executive Board is actively committed to more sustainability and has established various non-financial objectives for the Group, some of which will also be reflected in Executive Board remuneration. With “Employee Matters” taking top priority in human resources work and measures aimed at increasing employee satisfaction and the attractiveness of Jenoptik as an employer already implemented in 2020, management focused on the topic of “More Innovation” as well as the reduction of CO<sub>2</sub> emissions and sustainable supplier management.

### G08 Materiality matrix 2020



The promotion of good framework conditions for more innovations and greater investment in research and development ensure substantial growth and play a decisive role in our future performance. In addition to our already defined strategic goal of increasing our R+D performance, including customer-specific developments, to 10 percent of revenue by 2022, we therefore want to continuously increase the share of revenue generated by products and platforms that have been developed in the last three years. The so-called Vitality Index increased to 17.1 percent in the reporting year (prior year: 16.2 percent). The Executive Board has set itself the goal of increasing revenue with new products to 20 percent by 2022. In 2025, the Vitality Index is to be 22 percent. 



For more on the topic of innovation and IP management, see R+D chapter from page 92

However, a need for action was also identified in other areas: The requirements in connection with the goal of international climate policy to limit global warming are constantly rising, and companies are increasingly being called upon to contribute actively to the reduction of CO<sub>2</sub> emissions. We at Jenoptik therefore want to increase the proportion of green electricity used at our main production sites worldwide to 70 percent by 2022, and to 75 percent by 2025 of our total electricity requirements, expand our vehicle fleet to include vehicles with alternative drive systems and create an appropriate infrastructure at our sites for charging all battery-powered vehicles. In addition, we also wish to implement the increasing transparency requirements regarding human rights with regard to our supply chain. Our goal is to meet the higher standards of due diligence through sustainable supplier management and increase transparency in our supply chain.



Further information on the corporate strategy can be found in the chapter Targets and Strategies and the Corporate Governance Statement

A non-financial reporting system was set up in 2020 for the recording of all non-financial KPIs group-wide. It was integrated into our existing financial reporting system LucaNet. The creation of a now uniform reporting process will also guarantee regular information of the boards, and the management




See Corporate Governance Statement


of these KPIs in the future. At the time of reporting, TRIOPTICS, which was acquired at the end of 2020, is not yet part of the non-financial reporting.

The non-financial targets are described in detail in the respective chapters on the following pages and are summarized in table T13.

Corporate governance, compliance and adherence to stringent quality criteria are also of key importance to Jenoptik. We are equally as committed to law-abiding and compliant conduct with respect for human rights as we are to ensuring the above-average quality of our products and services. As a responsible and socially committed company, Jenoptik considers it its duty to play an active role in shaping its environment. Commitment to our region is also another high priority.

The key topics are also reflected in our corporate strategy and are value drivers in our various areas of business. 

## Risks in Connection with Non-Financial Aspects

Acting in conformity with rules and considering business risks and rewards – for Jenoptik, these are the principles of responsible corporate governance. The Group has a risk manual and a system of guidelines, thus providing a reliable reference framework for all employees worldwide. A new structure for group guidelines was introduced in 2020. The revised version reduces the scope of content regulated at group level and, for the first time, provides a globally uniform framework which can be supported with more detailed regulations. The guidelines are reviewed annually, and extended or updated as necessary. 

## T12 Jenoptik's key topics

Employee matters	Environmental matters	Social commitment	Human rights	Anti-corruption	Other topics
Corporate culture	Energy management	Social commitment in science, education, art & culture as well as social projects	Compliance with human rights and social standards in the supply chain	Responsible business relationships and fair business practices	Innovation: Environmentally friendly products
Recruiting and employer attractiveness	Reduction of CO <sub>2</sub> emissions			Integrity and compliance	Efficient use of materials
HR development	Water management		Sustainable supplier management	Data protection	Innovation-friendly environment
Fair working conditions	Protection of resources			Data security	Customer satisfaction
Occupational safety					

In two risk periods per year, the Compliance & Risk Management department identifies all risks within the Group and discusses the top issues – set in net terms – with the Executive Board and the

Audit Committee of the Supervisory Board. Our processes for the identification, management and control of risks involve non-financial environmental, social and corporate governance

## T13 Non-financial targets and key performance indicators

Aspects	Aspiration	Performance indicators	Status 2019	Status 2020	Target
Corporate culture	We want to increase the satisfaction and commitment of the employees	<ul style="list-style-type: none"> <li>• Fluctuation (attributable to employees)</li> <li>• Sick leave</li> <li>• Engagement Score</li> <li>• Net Promoter Score</li> </ul>	4.1 %	3.1 %	<5 %
	We want to increase our diversity and employ more women and employees of international origin in management positions	<ul style="list-style-type: none"> <li>• Diversity rate*</li> </ul>	25.5 %	27.8 %	30 % by 2022 33 % by 2025
Recruiting	We want to fill more internal vacancies with specialists who have been trained by Jenoptik	<ul style="list-style-type: none"> <li>• Training ratio</li> <li>• Number of trainees taken on (hiring ratio)</li> </ul>	3.8 % 93 %	4.2 % 79 %	>4 % 100 %
Brand & Reputation	We want to increase the attractiveness of Jenoptik as an employer	<ul style="list-style-type: none"> <li>• Fluctuation (attributable to employees)</li> <li>• Engagement Score</li> </ul>	4.1 % 72 %	3.1 % 76 %	<5 % >76 %
Innovation and R+D	Securing and boosting competitiveness, revenue and earnings through successful innovations:				
	<ul style="list-style-type: none"> <li>• We want to increase our R+D output including customer-specific developments</li> <li>• We want to increase the share of revenue generated with products and platforms which have been developed in the last three years</li> </ul>	<ul style="list-style-type: none"> <li>• R+D output</li> <li>• Vitality Index</li> </ul>	8 % 16.2 %	9 % 17.1 %	10 % by 2022 20 % by 2022 22 % by 2025
Environmental management	Reduction in CO <sub>2</sub> emissions:				
	<ul style="list-style-type: none"> <li>• We want to increase the proportion of green electricity used at our main production sites and take this issue into account in the purchasing process</li> <li>• We want to expand our fleet of vehicles with alternative drive technologies and create an appropriate infrastructure</li> </ul>	<ul style="list-style-type: none"> <li>• Proportion of green electricity at the main production sites</li> <li>• Number of vehicles with alternative drive technologies in the fleet</li> <li>• Number of charging stations</li> </ul>	63.1 % 4 1	– 7 15	70 % by 2022 75 % by 2025 Increase Increase
Supply chain management	We want to increase transparency in our supply chain in order to guarantee the protection of human rights and the environment	<ul style="list-style-type: none"> <li>• CRSA Coverage Rate of the purchase volume**</li> <li>• Change to CSR rate***</li> </ul>	25.4 % –	36.4 % –	40 % by 2022 50 % by 2025

\* Diversity rate: Average percentage of the number of managers with an international background as well as female managers

\*\* CRSA: Corporate Social Responsibility Supplier Self Assessment: percentage of purchasing volume from risk countries for which CRSA is available

\*\*\* CSR rate: Corporate Social Responsibility Rate: average percentage of all suppliers of production materials with an annual purchasing volume of more than 200,000 euros for which complete CSR self-assessments are available



Detailed information on our risk management system and major risks, including in connection with non-financial aspects, can be found in the Risk and Opportunity Report from page 133

risks, including climate-related risks in the form of physical risks and transition risks. Physical climate risks result from the physical effects of climate change, e.g. plant damage due to extreme weather events or losses due to long periods of drought. Transition risks are understood as the risks for business models resulting from decarbonization and the transition to CO<sub>2</sub>-free economic structures. They are divided, for example, into political/regulatory risks (e.g. rising prices for CO<sub>2</sub> emissions), legal risks (e.g. liability suits for climate damage), market risks (e.g. falling demand for fossil fuels), technology or competitive risks (e.g. outdated environmental technology), and risks to reputation (e.g. changing consumer preferences) in response to climate change. For risks associated with the coronavirus pandemic, refer to the Risk and Opportunity Report page 133.



See page 36 in the Corporate Governance Statement

The net analysis did not identify any risks that are very likely, now or in the future, to have a serious negative impact on the specified key non-financial aspects.

## Employee Matters

Our employees, with their experience and abilities, are our greatest asset and absolutely essential to the Jenoptik Group's business success. Forward-looking HR work and the responsible and modern approach to working conditions are therefore among our most important tasks, because excellent business performance is only possible with dedicated employees.

HR at Jenoptik covers all employee-related operating and strategic measures for the implementation of the Group's objectives and is thus an essential component of the overall leadership and management process. HR is an internal, internationally active business partner which supports the operating business and participates in the implementation of strategic decisions in all Jenoptik divisions. HR delivers local service on site in the respective country for all employees and managers, supports division-specific projects and offers expert knowledge in the areas of recruiting, employer branding, HR development, labor law and remuneration. HR reports directly to the Chairman of the Executive Board, who is also HR Director, via the function Head of Global HR.

The first point of contact for all HR-related issues in day-to-day business concerning the Group's employees and managers are our colleagues from HR Operations. Each division has an HR

Business Partner who is part of the management team. Working with Division Management, the HR Business Partners develop and implement HR strategic topics. In 2021, our HR work will be further professionalized and internationally standardized through the introduction of an SAP tool for the digitization of HR processes (so-called success factors).

Alongside an appealing corporate culture, we see our employees' efforts, expertise, experience, and commitment to the company as key value contributions. This was also confirmed by the results of the materiality analysis, which in Human Resources in particular point to topics such as corporate culture, HR development and employee satisfaction.

Detailed information on gender equality and targets for the proportion of women on the Supervisory Board, Executive Board and the management level below the Executive Board can be found in the Corporate Governance Statement.

With the implementation of the group strategy, the focus is on establishing a dialog-based **corporate culture** characterized by initiative, respect for diversity and equal opportunities. The basis for this is formed by our Jenoptik values – **open, driving, confident**. We believe that committed and curious people always perform outstandingly. We value new ideas and develop them further in an open dialog. In order to achieve our targets, we encourage employees who drive things forward and who have the will to succeed. In 2020, the further development of our corporate culture was one of three strategic group initiatives. The focus was on, among other things, intensive communication and exchange with our employees, the efficient design of our meeting culture, a structured approach to reducing overtime, and the topic of diversity. Progress on all topics was measured by a total of three so-called Culture Cockpits, an employee survey on the implementation status of our actions.

In particular, we have taken a major step forward in the area of **diversity** and defined both targets and measures for implementation: The diversity rate, i.e. the average percentage of managers with an international background and female managers, is to increase to 30 percent by 2022 and to 33 percent by 2025. In the past fiscal year 2020, the diversity rate was already increased to 27.8 percent (prior year: 25.5 percent).

The two target figures are reported to the EMC on a quarterly basis along with other non-financial KPIs. Closely related to this is the adaptation of our recruitment strategy to increasingly appeal to and hire applicants with diverse profiles. To make our activities in this area externally visible, we signed the Diversity Charter in August 2020 – a voluntary commitment and an association under the patronage of the German Chancellor that promotes a prejudice-free working environment. Internally, the topic is managed by a global Diversity Council, an internationally diverse body. The ten members come from seven countries and include Stefan Traeger (CEO), Maria Koller (Head of Global HR) and Thomas Klippstein (Chairman of the Group Works Council). For external benchmarking, we took part in the Women's Career Index (FKI) audit in 2020. In the overall index, we scored 79 points, two points above the industry average. In March 2021, Jenoptik was even named "Rising Star of the Year". Focus on all these topics will continue in 2021.

Jenoptik is modern and flexible in terms of leadership culture. Key to this will be the promotion of respectful behavior towards one another in the workplace, balancing of career and family, flexible working hours, and a healthy work environment. In particular, the introduction of remote working in 2019 has helped us to cope well with the challenging conditions created by COVID-19.

We have measured the satisfaction and commitment of our employees via an employee survey. This is conducted globally. When completing the survey, employees evaluate the various facets of the corporate and leadership culture. The commitment of our employees (so-called Engagement Score) and the recommendation rate (so-called Net Promoter Score) are also measured. We have also achieved our non-financial objective of increasing both KPIs in 2020.

A total of 58 percent of our employees took part in the 2020 survey (prior year: 68 percent). The engagement of our employees, the so-called "Engagement Score" improved by 4 percentage points to 76 percent, i.e. 76 percent of our employees identify positively with their duties at Jenoptik and are actively involved (prior year: 72 percent). With a "Net Promoter Score" of 74 percent (prior year: 69 percent) significantly more than two thirds of our employees would recommend Jenoptik as a good employer. This puts Jenoptik nine percentage points above the benchmark of 65 percent determined by our service provider Qualtrics. Our managers communicated the results of the employee survey to their teams and developed team-specific measures in a joint workshop. The next employee survey will take place in May 2021.

In 2020 we also conducted a survey of our new employees on the onboarding process at Jenoptik. Among our new colleagues (joining January to September 2020), the Engagement Score was 91 percent (2019: 90 percent) and the Net Promoter Score 93 percent (2019: 90 percent). The satisfaction with our recruitment process remains unchanged at 93 percent, while satisfaction with our onboarding process is 85 percent (2019: 86 percent). We also hold structured exit interviews with colleagues who leave our company in order to further improve our performance as an employer.

Jenoptik is family-friendly and responds to the needs of its employees with flexible working hour models. Flextime, part-time work, and flexible parental leave all make it easier for our employees to strike their own balance between family and working life. In 2020, 159 employees made use of parental leave in Germany (prior year: 154 employees). The number of part-time contracts in Germany rose to 10.9 percent and, globally 8.9 percent of our employees are part-time workers (prior year: 7.1 percent in Germany and worldwide). One of the most important preconditions for balancing career and family is the availability of childcare. For several years, Jenoptik has been investing in daycare centers at the Jena, Wedel, and Monheim locations, as well as in flexible childcare models. This means that our employees are assured a place at the daycare centers.

The global staff fluctuation rate of 3.1 percent in 2020 itself reflects a high level of employee satisfaction within Jenoptik (prior year: 4.1 percent). Across Germany, the fluctuation in the past fiscal year was 1.9 percent (prior year: 3.1 percent).

**HR development** is a key factor that determines the future viability of the company and the commitment of our employees. To help promote them in line with their potential and interests, the development needs are analyzed in regular staff appraisals. In our employee survey, we verified whether staff appraisals are held at all sites. In 2020, Jenoptik invested around 2.2 million euros (prior year: 2.6 million euros) in the professional development of its employees. This includes both the costs for trainees and students at the Cooperative State Universities and the costs for further training for our employees.

Learning at Jenoptik is structured according to the 70:20:10 principle: as employees and their supervisors are the experts for their own further development, 70 percent of learning takes place in the workplace and 20 percent through learning from others. Classroom or online training makes up 10 percent.

We have also been following the 70:20:10 learning principle in the development of our managers: since 2019, there have been three target-group specific programs aimed at potential employees, new managers and experienced managers. Our managers are key drivers of a uniform leadership culture at Jenoptik and thus of our corporate success. They are responsible for motivating the employees and have a direct influence on their satisfaction. COVID-19 restrictions meant that all three programs were conducted online in 2020. We also plan to offer more extensive training for experienced managers in 2021.

## HR Recruitment

Jenoptik's HR requirements are guided by the Group's international growth strategy, resulting in a greater need for recruitment in Asia, Canada and the USA. However, experts and managers are also being sought in Germany. The audiences addressed by recruitment and thus also HR marketing are primarily specialists and skilled workers in the natural and engineering sciences as well as experts with business management and legal backgrounds. We will also continue to push ahead with the topic of "diversity" here in 2021 in order to increasingly reach out to and recruit applicants with diverse profiles.

In order to fill more vacant positions with internal specialists trained at Jenoptik, the training ratio was increased, taking into account the retirement of employees in the context of succession planning. In the reporting period, the training ratio was

4.2 percent (prior year: 3.8 percent). Thus, at the end of 2020, a total of 189 trainees were employed by the Group worldwide (prior year: 156 worldwide). For 2021, the number of trainees is to be increased to a total of 219 group-wide. This will create 30 additional apprenticeships. The retention rate for trainees who successfully completed their vocational training in 2020 was 79 percent in 2020 (prior year: 93 percent). These trainees were taken on for an unlimited period by the company. A total of three international trainees from Syria, Malaysia and Afghanistan were hired in 2020.

Specific support for school students, university students and graduates forms part of the Group's expertise strategy, ensuring early loyalty to the company and thus simplifying the recruitment process. A selection of targeted initiatives and cooperation arrangements is shown in table T14.

Increasing **attractiveness as an employer** is the focus of employer branding at Jenoptik. Clear and distinctive positioning as an attractive employer should support recruitment and develop a positive and unmistakable employer image as a future-oriented, innovative high-tech company in the photonics industry. The definition of the employer brand and the development of the associated values (Employer Value Proposition) were carried out on the basis of the Jenoptik Strategy 2022 under the motto "More Light". The focus was once again on target-group oriented communication using social media channels in 2020. Numerous vocational training and university fairs were held online.

## T14 Initiatives and cooperations (selection)



### Jenoptik supports

- career guidance projects at schools, also offering their students the opportunity to complete an internship
- young researchers in Thuringia as a longstanding state-level corporate sponsor of the "Jugend forscht" initiative
- various industry organizations to promote professional development activities
- students in the form of degree theses, internships, and scholarships

### Jenoptik works with

- selected universities around the world with regards to HR marketing and recruitment, for research purposes, and to foster the professional development of its employees
- selected universities around the world via projects and is active through a range of committees and networks in an advisory capacity

Further information on our social commitment can be found from page 71



Occupational health and safety are also key topics affecting the basic needs of our employees and their satisfaction in the workplace. They are firmly anchored in the Group's operating processes and aim to minimize risks arising in the work environment that may endanger employees. The Jenoptik companies are each responsible for applying the law on all aspects of occupational health and safety. Occupational Safety, Health and Environmental Protection (OSHEP) is part of Corporate Real Estate Management, falling within the remit of the Chief Financial Officer. It provides advice to all companies, coordinates tasks and supports the Executive Board in implementing measures. Occupational health and safety committee meetings are held in all divisions each quarter. In addition, all employees are briefed on issues relating to health and safety at work at least once a year. At all of the German locations, around ten percent of the workforce are trained as first-aiders. The number of reportable workplace and commuting accidents in Germany fell in 2020 to 11.4 per 1,000 employees (prior year: 10.7). The rate for the Group as a whole was 10.8. Compared to the other members of the ETEM trade association (Energy, Textile, Electronics and Media Products), Jenoptik is still significantly below the average figure of 22.3 in 2019.

In the interests of our employees' health and performance, the Group offers regular medical examinations by a company physician. In 2020, the focus was on managing the pandemic. With the help of a pandemic plan and hygiene concept at all sites, it was possible to prevent the spread of infection at the operating facilities while maintaining the ability to work in all areas. The fast and regular exchange of information between all the coronavirus task forces set up and the provision of information to employees, but in particular the rapid introduction, implementation and consistent enforcement of hygiene measures, vaccination offers and the opportunities for remote working have made a significant contribution to the success. Despite all this, it was not possible to prevent 86 employees across the Group from contracting COVID-19 in 2020. However, with the exception of four cases at the start of the pandemic in March, these infections can be exclusively attributed to private leisure activities outside Jenoptik's operating facilities.

Since the end of 2019, company health management at Jenoptik in Germany has been centrally managed by the HR department in the Corporate Center. In 2020, the structures required for this were established. The starting point was the conclusion of a cooperation agreement with the Techniker Krankenkasse (TK) health insurance fund and the establishment of local "health steering groups" to support the implementation of the actions on site. These include the "Move It!" initiation project, a digital exercise offer from TK for all employees, a "Healthy Leadership" training offer for our managers, and

the further improvement of our process for company integration management (BEM). In 2020, we carried out a mental risk assessment for all German sites as part of the "Healthy Work" project. Our employee survey included 26 questions focused on this, covering working conditions and potential workloads and determining both stressors and resources at work. With the support of the "health steering groups", managers communicated the results to their teams and, if necessary, workshops were held with internal or external support to develop improvement measures. Overall, the results were very positive across Germany. The best score was for "social support", and the second-best score was for "appropriate working environment". The "Healthy Work" survey will be conducted again in 2022 to measure the effectiveness of the agreed measures.

## Environmental Matters

Protection of our environment is of high priority to us. We see it as our corporate responsibility to grow sustainably in harmony with the environment and society and to use resources and energy efficiently at all our sites worldwide. As many of our products enable our customers to use resources efficiently and responsibly, Jenoptik primarily makes an indirect contribution to conserving resources and therefore also to protecting the environment. In order to make an active contribution to reducing CO<sub>2</sub> emissions, we want to increase the share of green electricity used at our main production sites, expand our vehicle fleet to include vehicles with alternative drive systems, and create an appropriate infrastructure at our sites for charging all battery-powered vehicles.

In order to take advantage of our employees' high level of motivation when it comes to sustainability and to implement as many topics as possible at the same time, the first group-wide competition for greater sustainability at Jenoptik with a focus on environmental protection took place in 2020. Over the course of the year, more than 40 projects were implemented independently by employees:

- In the "recycling economy" category, significant waste savings were achieved through the reuse of special packaging material and cold packs for sensor packaging,
- Significant energy savings were realized through the introduction of peak load and shutdown management, compressed air control and the use of LED lighting systems,
- The use of drinking water dispensers in conjunction with reusable drinking bottles has replaced costly ordering of mineral water, while also saving on transport costs and transport emissions,

- In the “Biodiversity” category, the repurposing of an area close to the company’s site, the targeted planting of shrubs and wildflowers, and the installation of insect hotels transformed the unused grassland in Camberley, UK, into a kind of local recreational area for our employees. They use it for walks and yoga during breaks and it also provides a home for numerous insects.

An independent jury evaluated the implemented project contributions, with prizes being awarded to the three winners at the Management Days conference in early January 2021.

**Environmental management** is a key part of our business practices. We comply with national and international statutes and set standards in resource conservation and energy efficiency with respect to the manufacture of our products. However, we also require our suppliers and contractual partners to comply with relevant laws to minimize environmental risks. As a manufacturing company, we set our focus on efficient resource management so as to reduce energy consumption and greenhouse gas emissions to the best of our ability, use commodities and materials in a safe and resource-saving manner and to largely avoid producing hazardous waste. We espouse good environmentally friendly design and the economical use of resources as early as the development stage, while minimizing the impact on people, the environment and nature through regulated recycling and disposal. In line with their environmental relevance, selected Jenoptik companies are certified in accordance with the ISO 14001 environmental management standard, which sets out globally recognized requirements for an environmental management system. 

Occupational Safety, Health and Environmental Protection (OSHEP) topics are part of Corporate Real Estate Management and fall within the remit of the Chief Financial Officer. The Jenoptik companies are each responsible for applying the law

on all aspects of environmental protection. The central environmental protection officer from Safety, Occupational and Environmental Protection is available to provide assistance where required and, for example, reviews all group capital projects with regard to their environmental relevance. An exchange also took place in 2020 to share experiences between the managers responsible for environmental issues at the German locations to ensure a standard approach to implementing environmental law requirements and processes. Waste officers take care of all matters relating to the prevention, accrual, recycling, and disposal of hazardous and non-hazardous waste.

Jenoptik continues to implement and in part exceed statutory requirements relating to nature conservation and environmental protection for new buildings, extensions and the modernization of production facilities. State-of-the-art technologies for saving resources and protecting the environment are applied when fitting out production facilities. The company building for the Light & Production division at the Villingen-Schwenningen site, completed in 2020, fully complies with the environmental protection standards introduced at Jenoptik. For example, the new building was equipped with modern insulation, sensor-controlled LED lighting and energy-saving heating and air conditioning technology. In addition, several charging stations for electric mobility have already been installed. The construction of the new employee restaurant in Jena is proceeding at a rapid pace in 2021, with the opening scheduled for mid-2022. The Boards of JENOPTIK AG approved the investment of more than 10 million euros at the end of December. The focus of the plans is on the company’s values and strategy. For example, an internationally recognized sustainability certification will be pursued, which highlights environmental and social aspects. In addition, the open culture is reflected in the spatial design and furniture structures, along with the future orientation in the use of modern materials (e.g. Alubond and glass façades or metal grids as privacy screens).



See section on quality management in the Non-financial Statement, page 75

## T15 2019 energy consumption by energy source (in MWh)

	Electricity	Gas	Wood pellets	District heating	Heating oil	Energy consumption
Germany	32,581	7,150	842	8,965	472	50,011
Europe	672	60	0	0	0	732
Americas	8,574	4,341	0	0	0	12,914
Asia/Pacific	455	0	0	0	0	455
<b>Total</b>	<b>42,282</b>	<b>11,551</b>	<b>842</b>	<b>8,965</b>	<b>472</b>	<b>64,112</b>

The conversion of existing lighting to LED lighting is being examined and successively implemented at several sites worldwide in ongoing conversion measures taking into account cost and environmental aspects. In the future, obsolete and resource-intensive technology will be replaced by low-emission and more resource-efficient systems if necessary. Electrical energy in Germany is already provided almost exclusively from green electricity. Cleaning agents are currently being switched to environmentally compatible products for Germany. The successive development of an e-charging network – especially at the headquarters in Jena and beyond – will create the basis for a vehicle fleet utilizing alternative drive technologies in 2021.

**Greenhouse gases:** As a technology company, Jenoptik generates only small volumes of emissions within its plants. The majority of its pollutant emissions is attributable to procured and externally purchased energy (district heating, electricity or gas). Due to data availability, we report our energy consumption with a time lag to the reporting year. The group-wide total energy consumption is shown in Table T15 and is largely derived from electricity, gas and district heating. At 64,112 MWh, this was lower than in 2019 (2018: 75,605 MWh), due to energy savings and efficiency improvements. T15

In addition to absolute energy consumption, we are also reporting the energy consumption in relation to revenue, thus making the development of energy efficiency in our production transparent. In 2019, the total energy consumption of 74.96 MWh per 1 million euros group revenue was higher than in the prior year (2018: 90.59 MWh/1 million euros group revenue).

Through the targeted purchase of renewable energies, Jenoptik has been sourcing almost exclusively green electricity from European hydropower throughout Germany since 2020, which is backed by proof of origin. Our international sites are also gradually converting to renewable energy sources. Through these measures, we aim to increase the share of green electricity used at our main production sites worldwide to 70 percent of total electricity demand by 2022, and to 75 percent by 2025. In 2019, the share of renewable energies in the total electricity demand was increased due to the conversions to green electricity that have already taken place, already amounting to 63.1 percent (2018: 45.3 percent).

The **CO<sub>2</sub> emissions** are calculated on the basis of the media consumption (electricity, district heating, gas, heating oil, wood pellets) of all major Jenoptik production sites. Group-wide CO<sub>2</sub> emissions decreased in 2019 by 20.9 percent to 10,161 tons (2018: 12,843 tons). T16

## T16 Energy consumption and CO<sub>2</sub> emissions at major Jenoptik production sites (in MWh and t)

	Energy consumption		CO <sub>2</sub> emissions	
	2019	2018	2019	2018
Germany	50,011	58,447	5,637	8,038
Europe	732	1,332	38	158
Americas	12,914	15,543	4,174	4,455
Asia/Pacific	455	283	312	192
<b>Total</b>	<b>64,112</b>	<b>75,605</b>	<b>10,161</b>	<b>12,843</b>

**Water:** Jenoptik does not require large volumes of water for its manufacturing processes. Water is only used as a coolant, as a process medium and for sanitary purposes and comes primarily from the public drinking water supply and from groundwater. Nevertheless, as part of our water management, we take care to keep water consumption as low as possible at all our sites. For the current reporting year 2020, the reporting of water consumption and waste volumes is based, as far as possible, on billing during the year and valid estimates of the remaining consumption. In 2020, 69,758 m<sup>3</sup> of water were consumed at our main production sites (prior year: 72,117 m<sup>3</sup>/2018: 70,790 m<sup>3</sup>). T17

Due to low volumes of water required for production processes, we do not see ourselves encountering any key risks in this area. Conservation regulations only play a very minor role for the Group due to its business purpose and the location of its sites outside conservation areas.

**Waste:** Within the scope of our business activities, hazardous waste is also generated to a small extent in a few production processes, for example, adhesive residues or solvents. Our goal is to avoid producing such waste which is generated during production as far as possible or to recycle it and, when this is not possible, to dispose of it properly in order to minimize negative effects on the environment. In the production of semiconductor lasers in Berlin-Adlershof, for example, a new process has reduced the solvents used. The volumes sent for recovery or recycling are recorded locally and we distinguish between hazardous and non-hazardous waste within these categories. T18

In Germany, waste types in all divisions are systematically recorded, categorized and their quantities calculated. In the 2020 reporting year, the volume of hazardous waste disposed of in waste treatment/disposal plants reduced to 106 tons (prior year: 160 tons/2018: 162 tons) particularly in the Light & Optics division and VINCORION due to optimization measures in waste management. The quantity of non-hazardous waste rose slightly to 1,439 tons (prior year: 1,327 tons/2018: 1,022 tons). In general, Jenoptik recycles its waste through certified waste management companies. Through continuous waste separation and training of the employees on waste prevention, the amount of residual waste was again further reduced. At the Triptis site, for example, more plastic materials are being channeled back into the recycling process, thereby conserving resources, avoiding expenditure on waste disposal and even generating income.

As a high-tech company, Jenoptik is dependent on a wide range of raw materials. In the face of an increasing scarcity of resources, Jenoptik is committed to making sparing use of the materials it requires. Sporadic supply bottlenecks in connection with the coronavirus pandemic were offset by targeted supplier management measures. We comply with the applicable regulations, for example the requirements of the European chemicals regulation REACH (Registration, Evaluation, Authorization and Restriction of Chemicals) and the European RoHS directive (Restriction of certain Hazardous Substances), and are fully involved on associated committees. In order to implement efficient processes for collecting relevant data, the Product Compliance project will also be continued in 2021. In the future, declarations from suppliers, raw material and chemical data can be systematically and automatically evaluated and the respective declarations issued. The objective of our purchasing processes is to also meet all regulations relating to conflict minerals in compliance with the Dodd-Frank Act.

## T17 Water consumption (in m<sup>3</sup>)

	2020	2019	2018
<b>Total</b>	<b>69,758</b>	<b>72,117</b>	<b>70,790</b>

## T18 Hazardous and non-hazardous waste (in t)

	2020	2019	2018
Non-hazardous waste	1,439	1,327*	1,022
Hazardous waste	106	160*	162

\* Figures in Annual Report 2019 only for Germany: 1,100 t non-hazardous waste or 179 t hazardous waste (deviation due to change in fractionation as a result of group-wide recording)

## Resource Management

Many innovative Jenoptik products and solutions contribute to the efficient and responsible use of resources and support the UN's Sustainable Development Goals (SDGs). As a technology company, we enable our customers to design production processes and products more efficiently, thereby saving energy. The table below provides an overview of the contribution of selected Jenoptik products to resource conservation. T19

## Social Commitment/Corporate Citizenship

Supporting young people in their education and scientific activities, as well as in social projects – this is at the heart Jenoptik's social commitment. The Group supports a whole

range of non-profit projects, organizations and initiatives and is chiefly involved in the following three funding areas, primarily in Germany but increasingly also abroad:

- A commitment to the younger generation with projects in **science, education, and in the social arena**.
- **Art and cultural projects** to lend an attractive design to our company locations and create good conditions for our employees' work/life balance.
- A commitment to **integration and internationality** to strengthen the foundations of business and society in the future.

As a responsible and socially committed company, Jenoptik considers it its duty to play an active role in shaping its business environment. As part of this process, our main concern is to achieve close, long-term partnerships, with the aim of providing

## T19 Contribution of our products to resource conservation

### Product

**Jenoptik diode lasers and laser machines** for a wide range of applications, e.g. in medical technology or the automotive industry

### Contribution to resource conservation, environmental and health protection

- The most efficient light sources available with an efficiency of up to 70 percent
- Resource-friendly alternative to conventional machining processes, especially when machining high-strength steel with a lower weight

**Optical systems and components** for information and data transmission as well as medical diagnostic procedures

- Ongoing development toward ever-smaller crystalline structures in semiconductor production opens up ever newer applications
- Digital imaging, real-time disease detection and medical diagnostics increase health and well-being
- Time-saving processes and more cost-effective production save resources

**Metrology** – systems and equipment to check shape and roughness, particularly in the automotive industry

- The results are more precise surfaces and tighter tolerances in engine components (downsizing) and thus vehicles requiring less fuel and generating fewer emissions
- More complex transmissions for hybrid vehicles in the field of electromobility demand the increased use of metrology

**Hybrid power generation systems** to enable an efficient power supply to the Patriot missile defense system

- Use of battery technology to reduce fuel consumption
- Longer life cycles for customers, lower service expenditure and thus more sustainable products

**Traffic monitoring systems** check compliance with current road traffic regulations and improve traffic flow

- Increased safety on the roads and in public squares through reduction of accidents and resilient infrastructures
- Improvement of living conditions through reduced noise pollution and environmental pollution
- Installation at the side of the road limits interference in the environment (no installation of monitoring gantries)

**Toll payment monitoring systems** on federal highways

not just financial but also non-material assistance. With our commitment to society, we want to strengthen the confidence placed in Jenoptik and boost our employees' sense of identification with the company. We also expect this to have a positive effect on our brand image, reputation and our attractiveness as an employer.

The duties of Corporate Citizenship are the responsibility of Investor Relations & Communications. Group-wide guidelines govern the principles of a structured and standardized approach to defining "Jenoptik as a Corporate Citizen" and ensure a uniform method of handling donations and sponsorship queries, as well as carrying out sponsorship projects.

Our commitment to our region is of particular relevance. Since 1996, the Group has acted as the patron of the "Adult Initiative for Children with Cancer Jena". Donations both made by Jenoptik and collected from partners, and the organization of various events, have helped to support children with cancer and their parents. Particularly worthy of note is the Easter Charity Concert given by the International Youth Orchestra Academy, the proceeds of which are donated to the initiative. In 2020, the group-wide program "Mitarbeiter im Ehrenamt" (Employees and Volunteering) entered its second round as a further pillar of social commitment. Volunteering is an important link in society. Many Jenoptik employees make an important contribution to associations and organizations through their volunteering work. The "Mitarbeiter im Ehrenamt" program encourages and honors this commitment.

## T20 Social commitment – exemplary projects 2020

Social	Jenoptik supports	<ul style="list-style-type: none"> <li>• Easter charity concert by the International Young Orchestra Academy on behalf of the Elterninitiative für krebskranke Kinder Jena e.V.</li> <li>• Fundraising campaign on the occasion of the New Year's Eve reception on behalf of Deutscher Verkehrswacht (German Association for the Prevention of Road Accidents)/School Crossing Guards Project</li> <li>• Summer camps for children of Jenoptik employees and children of recognized refugee families</li> <li>• Promotion of "Mitarbeiter im Ehrenamt"</li> <li>• Thanksgiving food collections for the needy in Jupiter</li> <li>• Blood donation campaigns for One Blood in Jupiter</li> </ul>
Science & Education	Jenoptik is a partner for	<ul style="list-style-type: none"> <li>• The Thuringian young researchers competition "Jugend forscht" and "Schüler experimentieren"</li> <li>• Applied Photonics Award</li> <li>• Campaign – mobile devices for home schooling for needy families</li> <li>• Lothar Späth Award for Outstanding Innovations in Science and Business</li> <li>• Global competition "SPIE Startup Challenge"</li> </ul>
Art & Culture	<p>Jenoptik promotes artists through its own series of "tangente" art exhibitions (since 1994)</p> <p>Jenoptik supports cultural projects with partners</p>	<ul style="list-style-type: none"> <li>• Own series of "tangente" art exhibitions</li> </ul> <p>The following projects, which Jenoptik traditionally promotes, did not take place due to the pandemic:</p> <ul style="list-style-type: none"> <li>• Open-air Cultural Festival "Kulturarena" organized by the city of Jena</li> <li>• Summer theater spectacular by Theaterhaus Jena</li> <li>• Summer concert series at the Thalbürgel monastery church</li> </ul>

Together with numerous partners, the Group is also active as a member of "Familienfreundliches Jena e.V." (Family-Friendly Jena) support group for projects conducted by the "Jenaer Bündnis für Familie" (Jena Family Alliance) to improve general underlying conditions, the **work/life balance** and equal opportunities in education. Jenoptik supports various models of family-friendly childcare, the "Saaleknirpse" in Jena, the "Wasserstrolche" in Wedel, and the "Talentschuppen" in Monheim. For school children, there was once again a joint summer camp for the children of Jenoptik employees.

2020 was marked by the coronavirus pandemic, which was also reflected in our social commitment. Some projects that Jenoptik traditionally supports could not take place in the usual way due to the pandemic. Consequently, Jenoptik redirected some of its commitment to the promotion of pandemic-related projects. For example, Jenoptik initiated a large-scale fundraising campaign to finance mobile devices for students of needy families for home schooling, supported emergency aid funds for students, campaigns for pandemic key workers, and for the heavily burdened arts and culture sector. In 2020 the members of the Supervisory Board of JENOPTIK AG waived parts of their basic remuneration as a sign of solidarity in the COVID-19 crisis. Employee representatives and the Jenoptik Executive Board jointly decided to use the amount of around 60,000 US dollars to support Jenoptik employees in the USA who have been hit particularly hard financially by the Corona pandemic. In the USA, Jenoptik employees at the Jupiter site supported the "One Blood" organization with blood donation campaigns. Also at the Jupiter site, employees organized a food collection at Thanksgiving for those in need.

Since the company's earliest days, Jenoptik has been enriching life in Jena with art and cultural projects. The in-house "tangente" series of art exhibitions is a key part of this endeavor. In 2020, Jenoptik set the course for a new commitment, the sponsorship of Imaginata Jena e.V., an experimentarium for the senses, an extraordinary learning and event venue. The aims of Imaginata, to increase young people's awareness of science and technology at an early age, fit in very well with one of the central issues of Jenoptik's social commitment – encouraging young people socially and in education. Likewise, Jenoptik 2020 created the technical prerequisites for a contemporary video mapping projection on the Ernst-Abbe high-rise in Jena as a future artistic light installation for Jena, the city of Light.

## Responsible Corporate Governance

In a globalized market environment, Jenoptik is fully committed to responsible corporate governance and law-abiding, compliant conduct. We make our business decisions with this in mind and always work to ensure that our actions are in accordance with regulations, laws and our values. Compliance & Risk Management therefore lies within the remit of the Chairman of the Executive Board and reports directly and regularly to him. The Director of Compliance & Risk Management is in close contact with all employees throughout the organization and controls the Group's opportunity and risk management system in close cooperation with the central divisions and the divisions' risk officers. Our compliance organization comprises a central Compliance Competence Center with specialist responsibility for compliance, risk management, data protection as well as customs and export control. In the North America and Asia/Pacific regions, the team is strengthened by regional compliance officers.

**Respect for human rights** is a high priority for Jenoptik, especially in the supply chain. Jenoptik is committed to internationally recognized standards of human rights and does not tolerate any form of slavery, forced labor, child labor, human trafficking or exploitation in its own business operations or those of its supply chain. We also expect our suppliers to comply with and respect internationally recognized human rights standards, e.g. the Slavery and Human Trafficking Statement. Separate Codes of conduct for sales partners and suppliers define the Jenoptik Group's requirements for our business partners and require them to comply with nationally and internationally applicable statutes, regulations and standards. In order to identify violations and high-risk business partners in good time, a platform for group-wide supplier screening regarding compliance with all sustainability criteria was launched in 2020. Cooperation only takes place with those business partners who accept Jenoptik's compliance declaration.

**Anti-corruption:** Jenoptik fights all forms of active and passive corruption and expects all its business partners to do the same. For detailed information on Jenoptik's compliance management system, the company guidelines and codes of conduct for employees, suppliers and sales partners, our online training, and our whistleblower system, we refer you to the Corporate Governance Statement from page 36 and the Risk and Opportunity Report from page 133.

**Supplier management:** As one of our most important resources, our supplier base has a significant influence on the value contribution of our products, but also on sustainability and environmental protection. We partner with our suppliers all along the value chain on a long-term basis. When selecting our business partners and when working together, we take into account their performance in terms of safety, health, the environment, social standards and fair business practices in order to further develop an integrated supplier management system.

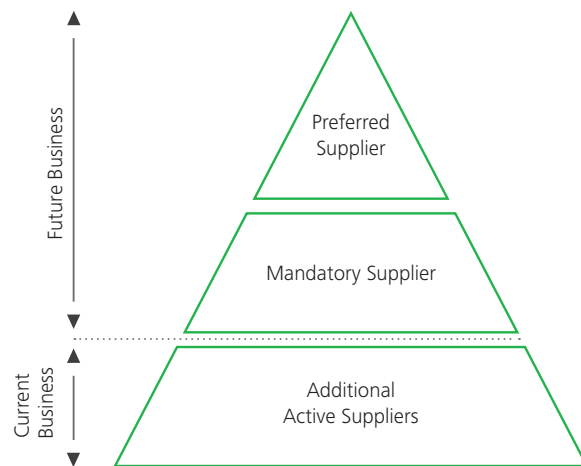
Our business partners are classified and assigned to the different phases of the supplier life cycle. Our Preferred Suppliers are of strategic importance for our future business. They are qualified according to uniform criteria applying group-wide. We hold a strategic meeting with our Preferred Suppliers at least once a year at which we discuss supplier assessment and its development. We use a scorecard to help set targets and measures relating to quality, logistics, technology, costs and sustainability. G09

Our Code of Conduct for Suppliers to the Jenoptik Group is binding on all suppliers worldwide, irrespective of procurement volume, and serves as the basis for contractual relationships. Among other things, it includes topics such as compliance with laws and regulations, respect for human rights, the prohibition of forced and child labor, the responsible handling of conflict materials and the obligation to protect the environment. Our qualification process in the reporting year included the request for a "Corporate Social Responsibility Supplier Self-Assessment (CRSA)" – a questionnaire for suppliers from high-risk countries on sustainability topics in the social, compliance, governance and environmental areas. An evaluation of the questionnaire is carried out interdivisionally with the Compliance & Risk Management and Safety, Occupational Health and Environmental Protection departments. The CRSA Coverage Rate is a non-financial indicator of the proportion of the purchasing volume from high-risk countries for which a CRSA exists. In the period under review, the CRSA coverage rate increased further

to 36.4 percent (prior year: 25.4 percent). In order to further increase transparency in the supply chain, Jenoptik will implement a central platform in 2021 for the global monitoring of suppliers with regard to compliance and sustainability. In this context, a new key figure, the so-called Corporate Social Responsibility Rate (CSR Rate), will be introduced, which indicates the percentage of suppliers of product materials with an annual purchasing volume of more than 200,000 euros for which complete CSR self-assessments are available. The CSR self-assessments cover the topics of environmental protection, compliance management, human rights and the prohibition of child labor, ensuring health and safety, and anti-corruption and sustainability in the supply chain in the form of questionnaires. The survey will be managed via the sustainability and compliance platform implemented in 2021. The CSR rate is expected to reach 40 percent by 2022 and 50 percent by 2025.

Purchasing in the Jenoptik Group is established globally and responsible for all procurement activities and the implementation of responsible supply chain management. The various purchasing categories and product groups are controlled and managed by category/commodity managers worldwide. The Vice President for Corporate Supply Chain Management & Procurement reports directly to the CFO of JENOPTIK AG, Hans-Dieter Schumacher.

## G09 Classification of suppliers





## Quality Management

### Quality Management

The key to Jenoptik’s success as a technology company primarily lies in the quality of its components, products and solutions. Longstanding collaborations with key customers, sometimes in the form of development partnerships, and the confidence placed in us by our partners are proof that our products and solutions are convincing in their quality worldwide. As a quality leader, we are proactively committed to ensuring that the quality of our products and services is above average in many of our product areas. For more than 30 years, Jenoptik has been a member of the German Association for Quality (DGQ e.V.) and was recognized for this in 2020.

Quality management at Jenoptik is managed locally in the business units and falls within the responsibility of the division managers. Each division applies individual customer and market-related quality indicators. The following overview summarizes key KPIs for quality management in the Jenoptik Group. T21

Our process optimizations are one way of ensuring and further improving our quality, the impact of which can be felt in all areas

### T21 KPIs for quality management

Criterion	Examples for KPIs of the divisions
Quality from a customer perspective	<ul style="list-style-type: none"> <li>• Customer satisfaction</li> <li>• Complaints costs ratio</li> <li>• Warranty and guarantee costs</li> </ul>
Quality as an internal operations partner	<ul style="list-style-type: none"> <li>• Internal audits (number of improvements)</li> <li>• Measures in the process of continual improvement (number)</li> <li>• Process and product quality                             <ul style="list-style-type: none"> <li>- Production yield/quality level</li> <li>- Reworking costs</li> <li>- Scrap costs</li> </ul> </li> </ul>
Quality from the supplier’s perspective	<ul style="list-style-type: none"> <li>• External supplier audits (number of improvements)</li> <li>• Suitable suppliers (number)</li> <li>• Complaints costs ratio</li> <li>• Guarantee and warranty costs</li> </ul>

of the business – from the development of new products via quality planning to the quality of the finished product (safe launch). Topics such as international quality and occupational health and safety as well as environmental protection programs were developed on the basis of the Jenoptik and divisional strategies. In 2020, for example, a CAQ module was introduced for more efficient planning, execution and evaluation of testing activities. With the introduction of a CAQ module for audit management, internal audits and supplier audits can be better prepared, executed and followed up in the future.

In addition to certifications, further issues in quality management at Jenoptik include standardization, process improvements, tests as well as continuous dialog with customers, e.g. analyses of customer satisfaction. Almost all the group companies comply with the requirements of quality management standard ISO 9001; many of them also meet the requirements of the ISO 14001 environmental management system.

The table on page 76 shows a selection of group certifications and actions undertaken in 2020. The Light & Optics division has successfully passed the matrix certification in accordance with the ISO 9001 and ISO 14001 international standards for quality and environmental management for several sites. The German VINCORION sites also received the re-certification audits for the implementation of their quality and environmental management systems. Successfully audited were the implementation of the environmental management standard ISO 14001:2015 (in Wedel and Essen) and compliance with the industry-specific standard EN 9100:2018 (in Wedel and Essen). In all audits, the DQS auditors (Deutschen Gesellschaft zur Zertifizierung von Managementsystemen) positively highlighted the further development of the quality and environmental management system, the high degree of integration of environmental topics in into company processes, and the large number of improvement measures planned and implemented in particular. In addition, they certified that the employees receive a very high level of training. In the fall, the Automotive division’s production area at the Shanghai site successfully passed an audit by the DQS.

In the current 2021 fiscal year, VINCORION plans to introduce an information security management system in accordance with ISO 27001 and to certify an environmental management system in accordance with ISO 14001 for JENOPTIK Power Systems at the Altenstadt site.

## T22 Certification within the Group (selection)

Certification	Description	2020 actions
ISO 9001	Certification of quality management processes	<ul style="list-style-type: none"> <li>• Matrix certification of all German Light &amp; Optics sites</li> <li>• Successful surveillance audit at the Shanghai site</li> <li>• Matrix certification of all Light &amp; Production sites excluding Spain</li> <li>• Matrix certification of Light &amp; Safety sites in Germany and Austria</li> <li>• VINCORION certifications: Successful surveillance audit at JENOPTIK Power Systems GmbH</li> </ul>
ISO 50001	Certification of the energy management system	<ul style="list-style-type: none"> <li>• Certification of Photonic Sense GmbH due to energy-intensive machining processes, change to ISO 50001:2018 standard revision</li> </ul>
EN 9100	Certification of quality management processes specific to the aerospace and defense industries	<ul style="list-style-type: none"> <li>• Re-certification/surveillance audit at VINCORION</li> </ul>
ISO 13485	Certification for the medical market with respect to the design, development and manufacture of medical products	<ul style="list-style-type: none"> <li>• Certification in the Light &amp; Optics division: Expansion audit for the biophotonics production area</li> </ul>
ISO 14001	Certification of the environmental management system	<ul style="list-style-type: none"> <li>• Matrix certification of German Light &amp; Optics sites: Expansion of the scope for the Berlin-Adlershof site within the framework of the existing multi-site certification</li> <li>• Re-certification in the Light &amp; Production division: Successful certification of the Bayeux site (France)</li> <li>• Re-certification at VINCORION</li> </ul>
ISO 45001	Certification of the occupational health and safety management system	<ul style="list-style-type: none"> <li>• Successful certification of the Light &amp; Production site in Bayeux (France)</li> </ul>
IATF 16949	Certification for the automotive industry	<ul style="list-style-type: none"> <li>• Surveillance audit and special audit at the Triptis site</li> </ul>
ISO/TS 22163	Quality management system for the rail industry	<ul style="list-style-type: none"> <li>• VINCORION: Successful recertification audit</li> </ul>
IRIS	International Railway Industry Standard	<ul style="list-style-type: none"> <li>• Certification at VINCORION</li> </ul>
ILO-OSH-2001 / OHSAS 18001 bzw. DIN ISO 45001	Certification of occupational safety and health management	<ul style="list-style-type: none"> <li>• Re-certification in Light &amp; Production</li> <li>• Re-certification at VINCORION</li> </ul>
AQAO 2110/2210	NATO quality assurance system	<ul style="list-style-type: none"> <li>• Renewal of certification at VINCORION</li> </ul>