

Declaration of principles on human rights

SCHOTT – A history of responsibility

Pioneering – Responsibly – Together.

These attributes characterize SCHOTT as a manufacturer of high-tech materials for special glass. Our company founders Otto Schott and Ernst Abbe thus became pioneers of an entire industry. A pioneering spirit and passion for constantly opening up new markets and applications and acting responsibly - this is what has driven SCHOTT for over 130 years. Our SCHOTT Spirit is our anchor and compass.

We can proudly say that SCHOTT's current sustainability strategy builds on a long tradition of social responsibility. As early as 1896, guidelines were laid down in the statutes of the Carl Zeiss Foundation that emphasized social responsibility, special rights for employees, and the promotion of scientific and social institutions. These values form an important historical reference point for our actions today.

This Statement of Principles on Human Rights formalizes our efforts to act ethically and responsibly and complements our existing frameworks for fulfilling legal due diligence obligations. It was revised as of December 2025 to take into account the constant development in our company as well as the supply chain. It thus replaces the previous version from December 2022.



Dr. Heinz Kaiser
Member of the
Board of Management
since 2016

Dr. Torsten Derr
Chairman of the
Board of Management
since 2025

Dr. Andrea Frenzel
Member of the
Board of Management
since 2023

Marcus Knöbel
Member of the
Board of Management
since 2024

1 Basics

“Compliance is a must, not an option” – this is the guiding principle for the compliance program at SCHOTT and shows that compliance with rules and laws is more than just a matter of course for us.

This applies even more to the fundamental rules of the Universal Declaration of Human Rights (UDHR) and the European Convention on Human Rights (ECHR).

Similarly, we are committed to complying with the International Labor Organization‘s (ILO) Five Fundamental Principles and Rights at Work.

In the course of our business activities, we comply with the OECD Guidelines for Multinational Enterprises on Human Rights (IV. Human Rigths) and expect a corresponding commitment also from our business partners.

As a participant to the UN Global Compact, we support its ten principles with the aim to making our contribution to a more inclusive and sustainable economy for the benefit of all people, communities and markets.

In addition, we support the United Nations‘ 2030 Agenda for Sustainable Development and aim to contribute to the achievement of the Sustainable Development Goals (SDGs) through our actions.

In the context of our strategy, we have placed an emphasis on four focus topics of the UN Sustainable Development Goals, which are steered by a central sustainability body (ESG Board). The focus is on the sustainable development goals with the greatest materiality for business operations and the greatest possible impact for a measurable contribution to overall sustainable development:



SDG 3:
Good health and well-being



SDG 5:
Gender equality



SDG 12:
Responsible consumption & production



SDG 13:
Climate action

These are complemented by robust corporate governance and a risk-oriented Compliance Management System.

As a company of the Carl-Zeiss-Foundation, our responsibility for human rights and ethical business practices is omnipresent in all subject areas and finds its way directly into our regulations and publications:

- SCHOTT Code of Conduct
- Supplier Code of Conduct
- Anti-corruption guideline to combat corruption as an expression of abuse of power and oppression
- Guideline on protection from discrimination & harassment to create a non-discriminatory and harassment-free working environment and thus a positive working atmosphere for all employees
- Data protection regulations to safeguard the personal rights and privacy of SCHOTT employees and external persons by establishing uniform global standards
- Rules and regulations for the EHS Management System to ensure the safety of our employees as well as the environment

As a company, we take our responsibility for our employees around the world and our responsibility for employees along our value chains very seriously.

We believe that respecting and protecting human rights is an important building block for the long-term economic viability of our company. Accordingly, this declaration of principles is authoritative for our global business operations. Where international human rights standards and national laws diverge, we are committed to working with our local partners to develop solutions and minimum standards in line with this declaration to further promote compliance with human rights standards.

2 Our approach to human rights



As part of our human rights strategy, we regularly assess the risk situation of our own business operations and our supply chain. A dedicated assessment of human rights risks takes place in group-wide risk management, which also covers the requirements of the German Supply Chain Due Diligence Act, among other things.

2.1 Human rights risks & risk analysis

A key component of our human rights strategy is regular risk analysis and raising awareness among all stakeholders of how to deal with human rights risks. We have defined a group-wide process for structured analysis:

At the beginning of each fiscal year, a regular screening of our sites and supplier portfolio takes place.

The risk scores of two indices – the Transparency International Corruption Perception Index and the ITUC Global Rights Index – are used to determine the country risk.

To determine the industry risk, we use the industry-specific information on environmental and human rights risks from our software service provider Prewave.

Together with internally available data, a classification is carried out according to country, industry and volume risks related to human rights in the context of our business activities. Finally, the assignment to a final risk category and the derivation of appropriate measures is carried out.



Our approach to dealing adequately with human rights risks is to prevent them and constructively improve existing abuses along our value chains. Accordingly, we encourage all employees and suppliers to report violations of human rights and environmental regulations. For this purpose, we provide a whistleblower system (SCHOTT Integrity Helpline), which is integrated into our Compliance Management System and the corresponding processes.

As a result of our ongoing risk analysis, the following human rights risks are currently the particular focus of our measures:

Own business area

- **Safety and health at work**

  At SCHOTT, there is an average of one serious accident per year. This shows that our working environment continues to pose considerable risks – and every single accident is one too many.

  Safety is our most valuable asset. And it requires our constant attention. Through this joint commitment, we aim to establish an even stronger and more conscious safety culture – a culture that brings a clear and tangible "plus" in every aspect of our work.

- **Freedom from discrimination and harassment**

  At SCHOTT, we demand and encourage the establishment of interdisciplinary and intercultural teams. Diversity is at the heart of our company culture and is reflected in our working teams. Different values and perspectives are just as important as nationality, gender and experience.

  In this culture, discrimination, insults and harassment have no place under any circumstances. We will continue to push ahead with our efforts to this end and continuously improve our prevention work in this regard.

Supply chain

- **Safety and health at work**

  Occupational health and safety and the prevention of work-related health hazards should also be given equally high priority by our suppliers.

  We expect that occupational accidents and diseases will be reduced there through the creation and training of safety standards.

- **Prevention of modern slavery**

  We reject all forms of forced labor, slavery and slavery-like practices, human trafficking, as well as the use, brokering or offering to engage in illicit activities.

  Corresponding regulations have always shaped our Code of Conduct. Regarding our value chain, it is important to continue to actively pursue this commitment as part of our compliance management system.

- **No human rights violations by third parties**

  Our suppliers must ensure that no human rights violations are committed by the security forces they appoint.

  Security forces should be appropriately trained and controlled for their operations so that there is no inhuman or degrading treatment, no injury to life and limb and the freedom of association and association.

- **Preservation of natural resources by avoiding environmental pollution**

  We expect our suppliers to be aware of how their business activities impact the environment and the climate. They should take appropriate precautions in the course of their business activities to protect the environment.

2.2 Preventive measures

In the above-mentioned areas, we take special measures to identify and avert corresponding risks at an early stage, in the interests of human rights and beyond.

To avoid systematic misconduct and to manifest ethical behavior at SCHOTT, company-specific systems, processes and controls have been established by SCHOTT's Compliance Office as part of the Compliance Management System ("CMS"), which also have a preventive effect.

To create an effective and sustainable understanding of applicable regulations, laws and internal rules, SCHOTT offers both traditional classroom training and online training. Our Integrity Helpline and the confidential transmission of information associated with it also enable us to act at an early stage in the best case and to be able to take further preventive measures to avoid violations or their far-reaching consequences.

In addition, our internal rules and regulations are suitable for mitigating compliance risks. These rules are binding for all employees, have been rolled out adequately throughout the group, and are continuously monitored for compliance.

This also includes a real-time evaluation of events and potential risk profiles along our value chains using intelligent tools and the expansion of our process landscape with a view to sustainable procurement.

As part of our EHS (Environment, Health & Safety) program, we also take preventive measures to protect our employees in terms of physical integrity and respect for fundamental rights. We strive to achieve high standards in accordance with ISO 45001 (occupational safety) and ISO 14001 (environmental protection), which are supplemented by internal minimum standards applicable worldwide. Our zero accidents program and our responsibility within the framework of our preventive health care program round off the preventive measures in our own business area.

As part of the CMS, the Compliance Office has rolled out the guideline on protection from discrimination and harassment globally.

The formal adoption and implementation of the guideline was supported by far-reaching communication measures on the group-wide intranet and a poster campaign. On Human Rights Day on December 10, 2024, a video was also published internally and externally on the topic of HumanRights@SCHOTT with a focus on the prevention of discrimination and harassment.

A core element of the guideline is the establishment of contact persons at all SCHOTT sites to support the handling of incidents in this area. They take up reports neutrally and accompany or support those affected in the further process. This lowers the hurdles for those affected to address sensitive issues in the work environment and further promotes consistent clarification of violations in connection with discrimination and harassment. It also has a preventive function, as it sends a clear signal to all employees that these issues are taken seriously.

2.3 Remedial measures

If we become aware of human rights violations in our own business area or along our supply chain as a result of our own measures and processes or via the whistleblower system, our CMS enables us to immediately initiate appropriate measures to investigate and clarify the relevant facts. In justified cases, we take corrective action and rely on partnership-based approaches to solutions together with our suppliers. In the event of willful and gross violations, we act decisively and adequately in terms of the protection of human rights and the obligations of this statement of principles.

Depending on the severity of the deviation, we have established clear escalation processes with adapted measures. In the spirit of trusting cooperation with our business partners, the priority is supplier development, i.e., supporting the supplier in appropriately addressing the relevant risks or violations. This includes discussions with all internal and external stakeholders as well as training on "best practice" approaches. In serious cases, however, we also reserve the right to impose contractual sanctions – up to and including the separation from business partners who repeatedly or particularly seriously endanger or violate our principles.

3 Governance & structures

The Board of Management of SCHOTT AG as well as the management of the corporate functions and business units are responsible for the implementation of this declaration of principles. It is controlled by the group wide ESG & Sustainability Program and its decision-making body, the ESG Board. It consists of the members of the Board of Management of SCHOTT AG as well as responsible persons for the key sustainability issues.

Responsibility for content and operations has been transferred to the Compliance & Security corporate function, which is responsible for the Governance section of the ESG Board.

The implementation of the human rights strategy is the responsibility of the Human Rights Officer, who is located in the SCHOTT Compliance Office. Through the CMS, all SCHOTT efforts with regard to human rights due diligence obligations are systematically monitored. The Human Rights Officer manages the related activities and measures in his own business area.

The Sustainable Procurement department within SCHOTT's purchasing organization is responsible for fulfilling due diligence obligations with regard to our suppliers. There is a regular exchange between the Human Rights Officer and this department.

Monitoring and reporting in relation to this declaration of principles is incorporated into the existing reporting formats of the CMS and is the subject of regular meetings of the ESG Board. We will also report on our due diligence obligations and corresponding measures as part of our reporting obligations at Group level.

