

September 2013

ThyssenKrupp is committed to the United Nations Global Compact

For ThyssenKrupp, sustainability means strengthening our ability to manage future challenges and seize opportunities. Sustainable and responsible business practice has been an integral part of ThyssenKrupp's corporate culture for 200 years. Sustainability is firmly embedded in our corporate mission statement and our strategy programs. Thus we are committed to adhere worldwide to the ten principles set by the Global Compact.

ThyssenKrupp regards the ideas and requirements of its stakeholders as material factors for its corporate success and its sustainability management. ThyssenKrupp is committed to an open and constructive dialogue with high transparency. We are also actively involved in the debate on sustainable development and corporate responsibility. For example, in Germany we are a member of "econsense", an association of 35 multinational companies promoting corporate sustainability.

ThyssenKrupp is reporting about its sustainability performance continuously and fully integrated into the corporate website as well as within its annual reporting. The international standards of the Global Reporting Initiative (GRI) and of the Global Compact are being applied in the reporting – integrated in the multiple formats.

Please find the reporting on our corporate website:

www.thyssenkrupp.com/en/nachhaltigkeit

A handwritten signature in blue ink, reading 'Hiesinger'.

Dr. Heinrich Hiesinger, CEO ThyssenKrupp AG

GRI Index of the sustainability reporting of ThyssenKrupp

The answers we provided to the indicators of the GRI Guidelines 3.1 as well as our Communication on Progress (COP) for the UN Global Compact are fully integrated into our website. Content will be updated continuously. Therefore we will check the coverage of our answers against the GRI application level on a regular basis. In our opinion, the current content can be classified as application level B.

- completely reported
- ▣ partially reported
- currently not reported
- not relevant

► 1. Strategy and Analysis

Indicator	Status	Link	Global Compact Principles
1.1 Statement from the CEO	■	➔ Letter to shareholders	
1.2 Description of key impacts, risks and opportunities	■	<ul style="list-style-type: none"> ➔ Risk report ➔ Sustainability ➔ Expected developments and associated opportunities and risks ➔ Sustainability management ➔ Strategy 	

► 2. Organisation Profile

Indicator	Status	Link	Global Compact Principles
2.1 Name of the organization	■	➔ Group	
2.2 Primary brands, products, and/or services	■	<ul style="list-style-type: none"> ➔ The ThyssenKrupp brand ➔ Innovations & Products 	
2.3 Operational structure of the organization	■	➔ Group	
2.4 Location of organization's headquarters	■	➔ Capability profile and organizational structure	
2.5 Countries where the organization operates	■	<ul style="list-style-type: none"> ➔ Capability profile and organizational structure ➔ International 	
2.6 Nature of ownership and legal form	■	➔ ThyssenKrupp stock	
2.7 Markets served	■	➔ Sales, marketing, corporate brand	
2.8 Scale of the reporting organization (number of employees, operations, net sales, total capitalization, quantity of products, voluntary information)	■	<ul style="list-style-type: none"> ➔ Group ➔ ThyssenKrupp worldwide ➔ Innovations & Products ➔ Consolidated statement of income ➔ Consolidated statement of cash flow ➔ Employees ➔ Annual Report 2011/2012 	
2.9 Significant changes during the reporting period regarding size, structure, or ownership	■	➔ The Group's Strategic Way Forward	
2.10 Awards received in the reporting period	▣	<ul style="list-style-type: none"> ➔ Press release: ThyssenKrupp Electrical Steel receives "German Business Award for Health" ➔ Press release: ThyssenKrupp Steel Europe wins "Fokus 50+" best practice award for demographic management ➔ Press release: Award-winning quality: ThyssenKrupp Nirosta is Blanco CS "Supplier of the year" ➔ Press release: ThyssenKrupp VDM first company in Germany to be awarded health management certification by TÜV NORD ➔ Press release: "Award-winning health management": ThyssenKrupp Steel Europe receives Corporate Health Award 2010 at Umweltforum Berlin ➔ Press release: Gold for the ThyssenKrupp Quarter ➔ Press release: ThyssenKrupp Quarter: A place for people and ideas ➔ Photo gallerie: ThyssenKrupp Bilstein Suspension uses local heat direct from 	

► 3. Report Parameters

	Indicator	Status	Link	Global Compact Principles
3.1	Reporting period for information provided	■	➔ Reporting	
3.2	Date of most recent previous report	■	➔ Reporting	
3.3	Reporting cycle	■	➔ Reporting	
3.4	Contact point for questions regarding the report or its contents	■	➔ Reporting	
3.5	Process for defining report content	■	➔ Reporting	
3.6	Boundary of the report	■	➔ Reporting	
3.7	Specific limitations on the scope or boundary of the report	■	➔ Reporting	
3.8	Basis for reporting on joint ventures, subsidiaries, leased facilities, outsourced operations, and other entities	■	➔ Reporting	
3.9	Data measurement techniques and the bases of calculations	■	➔ Reporting	
3.10	Effect of any re-statements of information provided in earlier reports	■	➔ Reporting	
3.11	Significant changes from previous reporting periods	■	➔ Reporting	
3.12	Table identifying the location of the Standard Disclosures in the report	■	➔ Reporting	
3.13	External assurance for the report	■	➔ Reporting	

► 4. Governance, Commitments, and Engagement

	Indicator	Status	Link	Global Compact Principles
4.1	Governance structure of the organization, including committees under the highest governance body	■	➔ Executive Board and Supervisory Board	1-10
4.2	Indicate whether the Chair of the highest governance body is also an executive officer	■	➔ Executive Board and Supervisory Board	1-10
4.3	Number and gender of the independent and/or non-executive members of the highest governance body	■	➔ Executive Board and Supervisory Board	1-10
4.4	Mechanisms for shareholders and employees to provide recommendations or direction to the highest governance body	■	➔ Employee Participation ➔ Shareholders and Annual General Meeting	1-10
4.5	Linkage between compensation for members of governance bodies and the organization's performance	■	➔ Performance-based compensation for the Executive Board	1-10
4.6	Processes in place for the highest governance body to ensure conflicts of interest are avoided	■	➔ Avoiding conflicts of interest	1-10
4.7	Process for determining the composition, qualifications and expertise of the members of the highest governance body and its committees including any consideration of diversity	■	➔ Supervisory Board targets for the composition of corporate bodies	1-10
4.8	Statements of Missions or values, codes of conduct, and principles	■	➔ Corporate culture ➔ Social standards	1-10
4.9	Procedures of the highest governance body for overseeing the organization's sustainability performance	■	➔ Sustainability management	1-10
4.10	Processes for evaluating the highest governance body's own sustainability performance	■	➔ Compensation Report	1-10
4.11	Precautionary approach	■	➔ Risk report	7
4.12	Externally developed charters, principles, or other initiatives	■	➔ World Steel Sustainable Development Charter ➔ Stakeholder dialogue	1-10
4.13	Memberships in associations and/or national/international advocacy organizations	■	➔ Stakeholder dialogue	1-10

4.14	List of stakeholder groups engaged by the organization	■	➔ Stakeholder dialogue
4.15	Basis for identification and selection of stakeholders with whom to engage	■	➔ Stakeholder dialogue
4.16	Approaches to stakeholder engagement	■	➔ Stakeholder dialogue
4.17	Key topics and concerns raised through stakeholder engagement	■	➔ Stakeholder dialogue

► Economic Indicators

	Indicator	Status	Link	Global Compact Principles
	Disclosure on Management Approach	■	➔ Strategy	
EC1	Direct economic value generated and distributed	■	➔ Consolidated results of operations ➔ Corporate Citizenship ➔ Remuneration Systems ➔ Notes to the consolidated statement of income ➔ Consolidated statement of cash flow	
EC2	Financial implications and other risks and opportunities for the organization's activities due to climate change	■	➔ Risk report ➔ Opportunity report ➔ Economic outlook	7
EC3	Coverage of the benefit plan obligations	■	➔ Accrued pension and similar obligations	
EC4	Significant financial assistance received from government	■	➔ Notes to the consolidated statement of income	
EC5	Range of ratios of standard entry level wage by gender compared to local minimum wage	■	➔ Social standards	1
EC6	Policy, practices, and proportion of spending on locally-based suppliers	□	Currently not reported	
EC7	Procedures for local hiring and proportion of senior management hired from the local community	■	➔ Social standards	6
EC8	Development and impact of infrastructure investments and services provided primarily for public benefit	■	➔ Corporate Citizenship	
EC9	Understanding and describing significant indirect economic impacts, including the extent of impacts	□	Currently not reported	

► Environmental Indicators

	Indicator	Status	Link	Global Compact Principles
	Disclosure on Management Approach	■	➔ Environment, Climate and Energy	
EN1	Materials used by weight or volume	■	➔ Procurement of raw materials and energy	8
EN2	Percentage of materials used that are recycled input materials	■	➔ Photo galleries: Sustainable: Recycling management in steel production	8,9
EN3	Direct energy consumption by primary energy source	■	➔ Resource & energy efficiency	8
EN4	Indirect energy consumption by primary source	■	➔ Resource & energy efficiency	8
EN5	Energy saved due to conservation and efficiency improvements	■	➔ Resource & energy efficiency	8,9
EN6	Initiatives to provide energy-efficient or renewable energy based products and services	■	➔ Innovations & Products	8,9
EN7	Initiatives to reduce indirect energy consumption and reductions achieved	■	➔ Resource & energy efficiency	8,9
EN8	Total water withdrawal by source	■	➔ Resource & energy efficiency	8
EN9	Water sources significantly affected by withdrawal of water	■	➔ Resource and energy efficiency	8
EN10	Percentage and total volume of water recycled and reused	■	➔ Photo galleries: Sustainable: Recycling management in steel production	8,9

EN11	Location and size of land owned, leased, managed in, or adjacent to protected areas	☐	Biodiversity aspects are part of the environmental management. But the relevance of biodiversity was rated very low based on internal assessments.	8
EN12	Description of significant impacts of activities, products, and services on biodiversity in protected areas	☐	Biodiversity aspects are part of the environmental management. But the relevance of biodiversity was rated very low based on internal assessments.	8
EN13	Habitats protected or restored	☐	Biodiversity aspects are part of the environmental management. But the relevance of biodiversity was rated very low based on internal assessments.	8
EN14	Strategies, current actions, and future plans for managing impacts on biodiversity	☐	Biodiversity aspects are part of the environmental management. But the relevance of biodiversity was rated very low based on internal assessments.	8
EN15	Number of IUCN Red List species with habitats in areas affected by operations	☐	Biodiversity aspects are part of the environmental management. But the relevance of biodiversity was rated very low based on internal assessments.	8
EN16	Total direct and indirect greenhouse gas emissions by weight	■	☎ Climate protection	8
EN17	Other relevant indirect greenhouse gas emissions by weight	☐	Not reported	8
EN18	Initiatives to reduce greenhouse gas emissions and reductions achieved	■	☎ Climate protection	7,8,9
EN19	Emissions of ozone-depleting substances by weight	☐	Not relevant	8
EN20	NO, SO, and other significant air emissions by type and weight	■	☎ Environmental data	8
EN21	Total water discharge	■	☎ Resource & energy efficiency	8
EN22	Total weight of waste by type and disposal method	■	☎ Resource & energy efficiency	8
EN23	Total number and volume of significant spills	■	No significant spills in fiscal year 2010/2011	8
EN24	Weight of transported, imported, exported, or treated hazardous waste	☐	Not relevant	8
EN25	Size, protected status, and biodiversity value of water bodies affected by the discharges of water	☐	Not relevant	8
EN26	Initiatives to mitigate environmental impacts of products and services, and extent of impact mitigation	■	☎ Product responsibility	7,8,9
EN27	Reclaimed product packaging materials by category	☐	Not relevant	8,9
EN28	Monetary value of significant fines and total number of non-monetary sanctions for non-compliance with environmental laws and regulations	☐	☎ Environmental risks ☎ Results of operations of the business areas	8
EN29	Environmental impacts of transporting products and workforce	☐	☎ Resource & energy efficiency	8
EN30	Total environmental protection expenditures and investments	■	☎ Environmental and climate management	7,8,9

► Labor Practices and Decent Work

	Indicator	Status	Link	Global Compact Principles
	Disclosure on Management Approach	■	☎ Employee	
LA1	Total workforce by employment type, contract, and region, broken down by gender	■	☎ Additional disclosures on the consolidated statement of income ☎ Employees	
LA2	Total number and rate of employee turnover	■	☎ Corporate culture	6
LA3	Benefits provided to full-time employees that are not provided to temporary or part-time workers	☐	☎ Social standards	
LA4	Percentage of employees covered by collective bargaining agreements	■	99% of the total workforce in Germany is engaged on the basis of collective agreements. ☎ Employee Participation	1,3

LA5	Minimum notice period(s) regarding operational changes	■	Regarding minimum notice periods for significant operational changes, our group companies apply the local regulations. In addition, principles of EWC (European Works Council) agreement to inform the EWC about significant transnational operational changes should be also applied. ➤ Employee Participation	3
LA6	Percentage of total workforce represented in formal joint management-worker health and safety committees	■	➤ Health & Safety ➤ Social standards	1
LA7	Rates of injury, occupational diseases, lost days, absenteeism and number of work-related fatalities	■	➤ Health & Safety	1
LA8	Education, training, counseling, prevention, and risk-control programs regarding serious diseases	□	➤ Health & Safety	1
LA9	Health and safety topics covered in formal agreements with trade unions	■	➤ Social standards ➤ Health & Safety	1
LA10	Average hours of training per year per employee	□	➤ Training and development	
LA11	Programs for skills management and lifelong learning	□	➤ Training and development	
LA12	Percentage of employees receiving regular performance and career development reviews	□	➤ Training and development	
LA13	Composition of governance bodies and diversity of employees	■	➤ Executive Board and Supervisory Board ➤ Diversity	1,6
LA14	Ratio of basic salary and remuneration of women to men	□	➤ Social standards	1,6
LA15	Return to work and retention rates after parental leave, by gender	■	The regulations in the respective countries are met.	

► Human Rights

	Indicator	Status	Link	Global Compact Principles
	Disclosure on Management Approach	□	➤ Social standards	
HR1	Percentage and total number of significant investment agreements and contracts that include human rights concerns	□	➤ Compliance Program	1-6
HR2	Percentage of suppliers, contractors and other business partners that have undergone screening on human rights	□	➤ Suppliers ➤ Sustainability in Supplier Management ➤ Supplier Code of Conduct	1-6
HR3	Total hours of employee training concerning aspects of human rights	□	➤ Social standards ➤ Training and development ➤ Corporate Culture	1-6
HR4	Total number of incidents of discrimination and corrective actions taken	□	➤ Compliance Program ➤ Whistleblower-Hotline	1,2,6
HR5	Operations and suppliers identified in which the right to exercise freedom of association and collective bargaining may be violated, and actions taken	□	➤ Employee Participation ➤ Sustainability in Supplier Management	1,2,3
HR6	Operations and suppliers identified as having risk for incidents of child labor, and abolition measures taken	□	➤ Sustainability management ➤ Sustainability in Supplier Management ➤ Social standards	1,2,5
HR7	Operations and significant suppliers identified as having risk for incidents of forced or compulsory labor, and elimination measures taken	□	➤ Sustainability management ➤ Sustainability in Supplier Management ➤ Social standards	1,2,4
HR8	Percentage of security personnel trained in procedures concerning aspects of human rights	□	Currently not reported	1,2
HR9	Total number of incidents of violations involving rights of indigenous people and actions taken	□	Not relevant	1,2
HR10	Percentage and total number of operations that have been subject to human rights reviews	□	➤ Social standards	
HR11	Number of grievances related to human rights filed, addressed and resolved through formal grievance mechanisms	□	Not relevant	

► Society

	Indicator	Status	Link	Global Compact Principles
	Disclosure on Management Approach	■	Corporate Citizenship Compliance Program	
SO1	Percentage of operations with implemented local community engagement, impact assessments, and development programs	■	Corporate Citizenship	
SO2	Percentage and total number of business units analyzed for risks related to corruption	▣	Compliance Program	10
SO3	Percentage of employees trained in organization's anti-corruption policies and procedures	▣	Key corporate governance practices	10
SO4	Actions taken in response to incidents of corruption	▣	Compliance Program	10
SO5	Public policy positions and participation in public policy development and lobbying	■	Stakeholder dialogue	1-10
SO6	Total value of financial and in-kind contributions to political parties, politicians, and related institutions by country	■	Donations to political parties are forbidden by company policy. Therefore in the fiscal year 2010/2011 no payments have been made to political parties. Stakeholder dialogue Corporate Citizenship	10
SO7	Total number of legal actions for anti-competitive behavior, anti-trust, and monopoly practices and their outcomes	▣	Compliance as a management duty of the Executive Board Results of operations of the business areas Risk report Notes on the consolidated statement of income	
SO8	Monetary value of significant fines and total number of non-monetary sanctions for non-compliance with laws and regulations	▣	Results of operations of the business areas Notes on the consolidated statement of income Risk report	
SO9	Operations with potential or actual negative impacts on local communities	▣	Corporate Citizenship	
SO10	Prevention and mitigation measures implemented in operations with significant potential or actual negative impacts on local communities	▣	Corporate Citizenship	

► Product Responsibility

	Indicator	Status	Link	Global Compact Principles
	Disclosure on Management Approach	■	Innovations & Products	
PR1	Life cycle stages in which health and safety impacts of products and services are assessed for improvement	▣	Product stewardship	1
PR2	Total number of incidents of non-compliance with health and safety regulations and voluntary codes	□	Currently not reported	1
PR3	Type of product and service information required by procedures, and percentage of significant products and services subject to such information requirements	▤	Not relevant	8
PR4	Total number of incidents of non-compliance with regulations concerning product and service information and labeling	▤	Not relevant	8
PR5	Practices related to customer satisfaction, including results of surveys measuring customer satisfaction	▣	Sales, marketing, corporate brand Corporate program impact Photo galleries: Greater customer satisfaction through internal training at ThyssenKrupp	
PR6	Programs for adherence to laws, standards and voluntary codes related to marketing communications, promotion, and sponsorship	▣	Corporate Citizenship The ThyssenKrupp brand	

PR7	Total number of incidents of non-compliance with regulations and voluntary codes concerning marketing communications	☐	Not relevant	
PR8	Total number of substantiated complaints regarding breaches of customer privacy and losses of customer data	☐	Not relevant	1
PR9	Monetary value of significant fines for non-compliance with laws and regulations concerning the provision and use of products and services	■	<ul style="list-style-type: none"> ➤ Results of operations of the business areas ➤ Other provisions 	