



**For a healthy
future.**

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Along with his camera, reportage photographer Murat Aslan spent a week fully immersed in the day-to-day experience of one of our hospitals: He was present as a silent observer to the treatment of incoming emergency patients, the birth of babies, and highly complex surgery. He took more than 700 photos that week. With his finger quite literally “on the pulse,” he captured everyday life in a large hospital with his authentic and unadorned photos. Some of Murat Aslan’s photos were used in our 2020 Germany-wide image campaign “By your side.” Others serve as lead photos for the chapters of this report.



Franzel Simon, Chief Executive Officer (CEO)

Preface

The topic of sustainability, or “Corporate Social Responsibility” (CSR), was officially and solidly anchored within Helios in the summer of 2019 at the Management Board level. Of course, we had addressed many sustainability and corporate responsibility topics even before that: As a leading operator of hospitals, prevention and occupational medicine centers, and inpatient and outpatient care service providers, Helios carries great responsibility for the approximately 5.6 million patients who undergo medical treatment with us in Germany every year. With this, our first Helios sustainability report, we take stock and provide an overview of all the relevant sustainability topics – with a focus on employees and patients, compliance and, of course, the environment.

“We want to develop a fitting sustainability strategy for Helios and create a new dynamic in that field – for the benefit of our patients, our employees and the environment, our business partners and also for future Helios job applicants and employees.”

When it comes to our sustainability management, these are the key questions we are asking ourselves: As a large hospital operator, how can we assume responsibility for the environment, our employees, our patients and society at large? How can we best promote the safety of our patients as well as the satisfaction, health and development of our employees? How can we contain and control the environmental impact of our hospitals? How can we evolve and become more sustainable in this respect? We are proud to have once again significantly improved our energy footprint in 2019. Our innovative efforts to lower energy consumption in our sensitive and energy-intensive hospital operations has proven remarkably successful.

In some areas, 2019 was a year of experimenting with new approaches, such as the active involvement of our employees in the process of developing a new vision and mission for our company. We plan to continue along this vein so that, together with our hospitals, we can develop ideas and, with sound judgment, analyze where we can get better – like we always do at Helios. We want to develop a fitting sustainability strategy for Helios and create a new dynamic in that field – for the benefit of our patients, our employees and the environment, our business partners and also for future Helios job applicants and employees. The wise handling of these topics is becoming more and more important for them all.

This report was drawn up in the midst of the coronavirus crisis, a crisis which has brought into even sharper focus the major challenges the future has in store for us: “Keeping nature intact serves as a stronghold against new viruses and pandemics and is a decisive factor for our health,” states WWF Germany in the context of analyzing interdependencies between climate change and increasing global health risks. This crisis has made abundantly clear that climate protection and the conservation of species result in effective health protection, too. As a health care company, this must concern us, too.

The large-scale investments and support programs put in place by the German government to counteract the consequences of the coronavirus crisis are tied to an expectation: that they be used to promote economic, technological and social innovations that are clearly geared toward a sustainable future. The pandemic time has given rise to a stronger consensus about assuming responsibility in this regard, and this will also continue to motivate and guide Helios in its next steps toward greater sustainability.

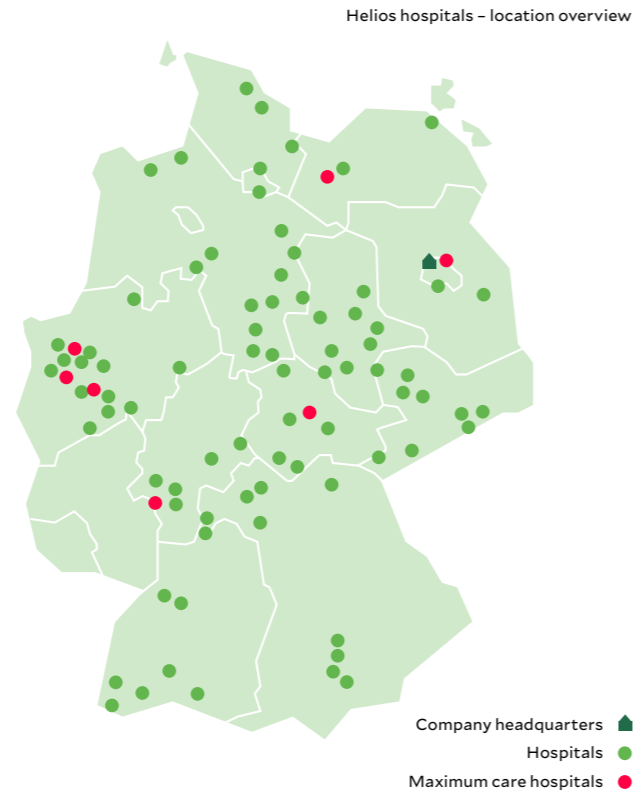
In closing, let me express my thanks to all the employees who have contributed to this report despite the significant challenges of the coronavirus period – the expertise and commitment they invested in this project are truly appreciated.

Franzel Simon
Chief Executive Officer

Helios profile

Helios began its corporate history 25 years ago as a private hospital operator with just four hospitals. Today Helios is Germany's leading private hospital operator with a total of 28,900 beds and some 69,000 employees: With 86 acute care hospitals and 123 outpatient clinics, Helios offers treatment across the entire medical service spectrum.

In 2019, approximately 5.6 million patients were treated in our facilities, with 4.4 million as outpatients and 1.2 million as inpatients. Our annual turnover for 2019 reached a total of €5,940 million (for more information, see the [Key figures chapter, p. 46](#)).



A strong corporate group

Helios became part of the globally active health care group Fresenius in 2005. As Fresenius Helios, it is one of the four business segments of the Fresenius Group together with Fresenius Medical Care, Fresenius Kabi and Fresenius Vamed.

Helios Germany belongs to Fresenius Helios and, since 2016, the Spanish hospital group Quirónsalud does, too, with 51 hospitals, 71 outpatient clinics and about 300 occupational health management facilities. Since 2018, both Helios and Quirónsalud have been operating under the umbrella of the holding company Helios Health with its own four-member executive management team. Through Helios Health, an intensive knowledge transfer exists between Germany and Spain, developing synergies between the two companies and driving forward the international expansion of Helios. This sustainability report focuses exclusively on the engagement of Helios Germany. Our Spanish sister company, Quirónsalud, publishes its own sustainability report on an annual basis.



approx.

69,000

employees



approx.

5.6 million

patients



approx.

28,900

beds

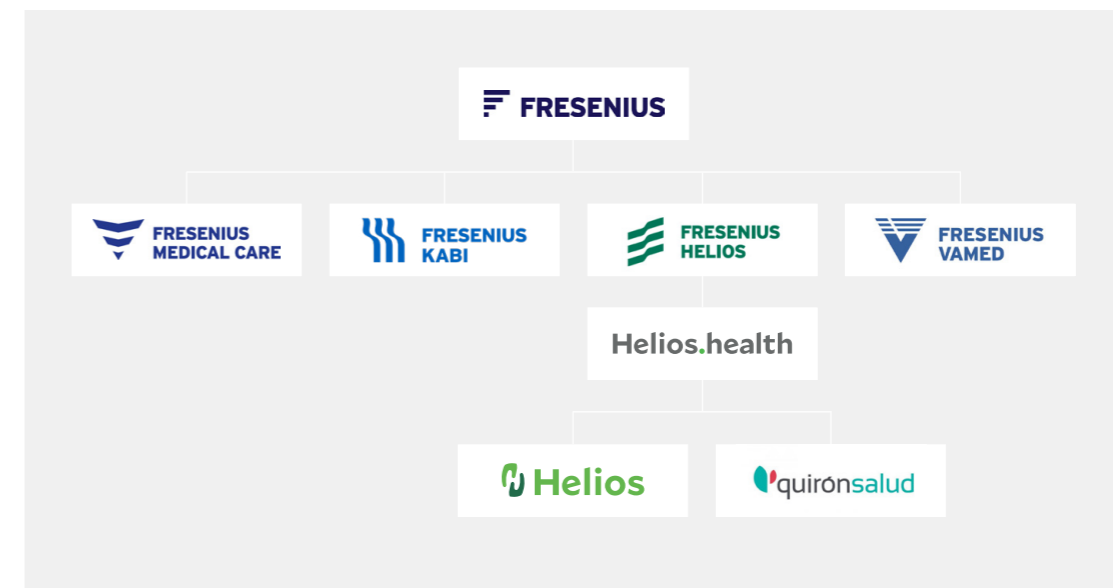
Decentralized organization, centralized support

Our five-member Helios Management Board makes its strategic decisions based on responsible corporate management oriented toward the sustained increase of the company's value.

Our hospitals and outpatient clinics are organized regionally. Each of our five German regions (North, South, West, East and Central)* is managed and developed by a Regional Manager together with a Regional Medical Manager. These decentralized structures make for short decision paths and benefit the company in terms of organization and management. The hospitals align their medical service portfolio within each region and develop cross-regional synergies in many areas of hospital operation, too. The corporate responsibility for the hospitals rests with the respective Managing Directors of each hospital, the Regional Manager and the Regional Medical Manager. All Regional Managers and Regional Medical Managers also belong to the extended Management Board of Helios, bringing the local and regional perspectives of the hospitals to the table when important company decisions must be made.

The company headquarters in Berlin provide support to the management and the regions with 19 Central Services for overarching tasks such as HR Management, Legal, Purchasing, Cleaning, Controlling and Corporate Communications. The "Outpatient Care" unit as well as the "New Business Areas and Cross-Division Care" unit have resided with our Corporate Management since 2018. In our hospitals, the "Outpatient Care" unit is made up of our outpatient centers and outpatient departments and focuses on expanding our care services in the outpatient area. The objective of the "New Business Areas and Cross-Division Care" unit is to develop new future-forward care models and especially to dovetail outpatient and inpatient care more closely. The Supervisory Board of our parent company Fresenius SE & Co. KGaA functions as the controlling body of Helios Germany.

Fresenius SE & Co. KGaA company structure with Fresenius Helios as one of four business segments



* As of July 1, 2020, Helios has altered its regional structure from five to four regions (North, South, West, East).

Understanding sustainability

As a health care company with over 200 health care facilities throughout Germany, we are active right in the center of society. Every day we shoulder the **responsibility** for thousands of people's well-being and health. Our patients show us great trust when they come to us for medical treatment. We want to provide them with the best possible care – from routine interventions to complex surgery, from preventative treatment and preparatory consultation all the way to post-acute, both inpatient and outpatient. From a business standpoint, we are faced with the challenge of meeting the highest medical standards while also employing approximately 70,000 people – and aiming to stay economically successful for the long-term under increasingly regulated framework conditions.

To meet our high standards, we attach great importance to the safeguarding of the outstanding quality of our medical treatment. More than anything, **transparency**, honesty, diligence and expertise in all areas are what distinguish us: We openly address potential errors. Together, we work to prevent them, to improve our medical and service performance and thereby to fully meet our patients' needs.

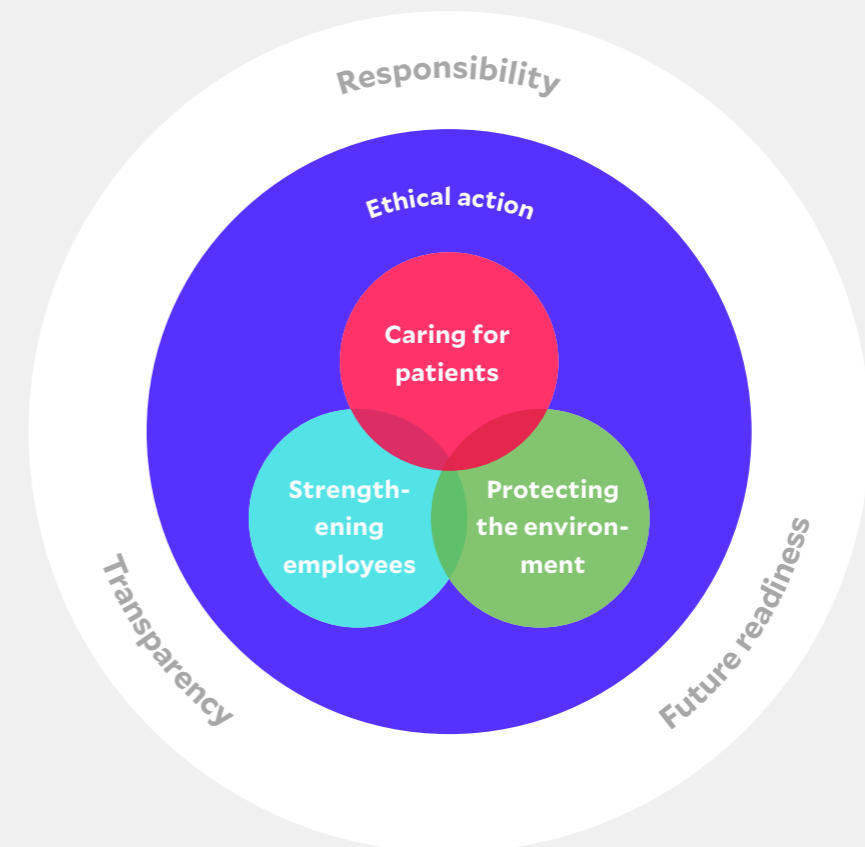
We consider transparency and a continuous learning culture as the foundation for a viable future. Global megatrends such as digitalization, urbanization, climate change and the demographic development of our society mean that a fundamental transformation of the health care market is needed – and it is our goal to actively help shape it. We follow trends and innovations, assess them critically with our pool of experts and then implement sensible new methods and technologies in the day-to-day experience in our hospitals. A future-focused outlook, a desire to continuously improve and a sense of curiosity drive us forward – with the goal of offering ever-improving medical care to more and more people. In Helios, we want both our patients and our employees to find a trusted partner who is always at their side. This aspiration is the basis of our sustainability engagement, which comprises the following action areas:

Caring for patients

Outstanding medical quality and the safety of our patients, as well as their subjective satisfaction with the care and service they receive – this is the core of what we do. So we can continue providing excellent care for the long term, we keep ourselves informed about current and impending changes in the health care market and invest in digital solutions to complement our service range.

Strengthening employees

Every day, our employees ensure that our patients are cared for in a competent and considerate manner. They are the ones who make Helios Germany's leading provider of inpatient and outpatient care. Which is why we do everything in our power to offer our employees a workplace with which they can fully identify, and which motivates them to progress – both individually and as part of a team.



Protecting the environment

Human health is closely connected to a healthy environment. Consistent climate and species protection, therefore, means consistent health protection, too. Which is why we are looking carefully into what environmentally and resource-friendly hospital operations may look like in the future – and already implementing numerous environmental protection measures today, too.

Ethical action

As an operator of hospitals and outpatient clinics, we carry a great responsibility to society. We are fully conscious of this responsibility and consider ethical, law-abiding behavior the foundation for all we do. This is why we have established strict compliance regulations and diligently prosecute any violation of them. We also take great care to act in both an independent and incorruptible manner.

Anchoring sustainability

In 2019, we anchored the responsibility for sustainability (management) at the top management level: our CEO Franzel Simon. When it comes to implementing sustainability concepts, he is supported by the Helios Management Board. Since the summer of 2019, he has also had the support of our dedicated Corporate Executive for Sustainability Management, Constanze von der Schulenburg.

To draw up this first sustainability report, a working group came together consisting of representatives from the relevant departments. A workshop was then held, where we developed and defined our understanding of sustainability and took stock of all existing sustainability activities at Helios.

When it came to choosing sustainability topics, we found guidance in both the materiality analysis of our parent company Fresenius and the reporting standard of the Global Reporting Initiative (GRI). With this as our basis, we will expand our sustainability initiatives in 2020 and, working closely with our Central Services, we will define suitable measures for further developing our sustainability action areas.



Constanze von der Schulenburg
Corporate Executive for Sustainability Management/CSR
Company Spokesperson

Our actions are geared toward providing people with the best possible medical care and supporting them in becoming and staying healthy. For a health care company, this ultimately means assuming responsibility for the environment in which people live and work, too. And for how they can responsibly move, progress, and behave in their professional environment.

Our stakeholder groups – an overview



Patients	Business partners	Media
Employees	Trade unions	Job applicants
Policy-makers	NGOs	Investors & competitors

Integrating stakeholders

Our core business is marked by the diverse expectations of our varied stakeholder groups. This includes our patients, first and foremost, who rely on us for outstanding medical care, as well as our current and potential employees, who expect an attractive workplace that is both future-oriented and offers potential for development. Our business partners, along with policy-makers, NGOs, the media, trade unions, competitors and the investors of our parent company Fresenius, keep us informed about their interests and expectations regarding Helios as a leading health care provider.

To better understand and to be able to respond to our stakeholders' needs, we engage in regular exchanges with them. We are already in extensive contact with our patients and employees – our primary stakeholders. For instance, we obtain feedback regarding our patients' satisfaction during their treatment and publish a quarterly patient magazine. We are in constant contact with our employees through our intranet, and

in 2019, also actively involved over 500 employees in a company-wide dialog process for developing our corporate vision and mission ([see the Employees chapter, p. 25](#)).

We also want to keep improving our measures in the future – and this dialog with our stakeholders is key to our ability to do this. Their feedback and the mutual exchange we entertain with experts from our hospitals and the Fresenius Group help us to further prioritize sustainability topics so we can better integrate them into our activities. For instance, we collaborate with a group of experts from all Fresenius business segment divisions in the area of human rights and will make the best use of these insights in 2020 ([see the Compliance chapter, p. 44](#)).



Giving our all

Patient safety and satisfaction are our top priorities. By consistently providing our patients with outstanding quality medical care, we want to help shape the future of the health care market. We seek to recognize and understand the areas in which we can improve – and we are ready to rise to these challenges. Learning from past mistakes is how we can create a healthy future.

Ensuring health care

In 2019, approximately 5.6 million patients were treated in our facilities, with 4.4 million as outpatients and 1.2 million as inpatients. Helios hospitals offer treatment across the entire medical service range, from prevention across all levels of medical care to complex interventions such as transplant medicine. A total of 28,900 beds are available for this purpose, 28,280 of which are in acute care.

The German hospital market is dynamic and fast-changing. For one thing, doctors and patients interact in new ways through digital patient files, telemedicine and digital support programs for patient treatment. In addition to these developments, health data can now be transmitted and interpreted far more quickly. In the future, the German health care system will develop toward a network of health care centers that are fewer in number yet more highly specialized. Both inpatient and outpatient treatment will merge more seamlessly. We plan on playing an active role in shaping these developments and want to contribute to getting sustainable future concepts for medical care off the ground.



Approximately **5.6 million patients** were **treated** in Helios facilities in 2019.

Providing medical quality

Since its establishment 25 years ago, Helios has worked to achieve measurable, high-quality standards of medicine. To consistently meet these standards, we have developed a quality management system, which stands on three pillars:



Quality measurements based on routine data



Transparency of results through their publication



Quality improvements through peer reviews

We first designed this method for our hospitals in 1999 and have continued to develop it ever since. This method has since been transferred to approximately 500 hospitals throughout Germany, Austria and Switzerland in the context of the "Initiative Qualitätsmedizin" (IQM), which we founded in 2008 together with eight other hospital operators. The IQM aims to make improvement potentials visible and promotes active and open error management in hospitals.



Quality measurements based on routine data

Analyzing the processes and results of the treatments our patients receive is the backbone of our quality management. Every treatment step in the hospital is meticulously documented for subsequent invoicing with health insurance companies. We also use this routine data to measure our performance quality. It shows, for instance, whether the recovery took longer than expected, or whether complications or even a fatality occurred. The data can serve as an indicator of whether a treatment proceeded normally or if mistakes were made.

We enter our routine data into the Inpatient Quality Indicators (G-IQI) list developed by the IQM. The G-IQI maps over 60 disease patterns and treatments via 380 key figures, which reflect results, quantities and processes. Beyond this data, we also collect over 1,000 additional quality-related key figures internally.

We have selected 46 core G-IQI indicators for strategic controlling and defined concrete target values that ideally lie above the respective comparable national averages. These are based on data from all hospitals in Germany and are obtained and averaged by the German Federal Statistical Office. In 2019, we reached this goal for 44 of these 46 quality indicators and, at 96%, we increased our target achievement rate by seven percentage points as compared to 2018. The biggest improvement potential was found in the indicators for maternal mortality during birth and mortality during isolated discectomy.

Specialized centers in which we offer our patients highly complex treatments and an outstanding level of medical care, embedded into a network of hospitals, that are easy to reach for all patients and provide excellent primary health care for inpatients – this is what sustainable patient care is going to look like in tomorrow's world.



Prof. Dr. med. Andreas Meier-Hellmann
Chief Medical Officer



96% of quality targets were met.



Transparency of results through their publication

We want to share our successes as well as our errors – to create an incentive for finding improvement potentials and to learn from our mistakes. For this reason, we publish our quality results on a regular basis. Every hospital and department receives a monthly report about their medical treatment results. This way, we can identify any trends early on and, if necessary, initiate a closer analysis. We also publish the annual medical quality results on our corporate Helios website as well as on our hospitals' websites. These results show the performance of each facility as compared to the national average, to other Helios hospitals and to all IQM member hospitals. It also gives the hospitals an incentive to learn from the best.



Quality improvements through peer reviews

Should our hospitals fail to reach certain quality targets, or should other irregularities become apparent in their quality results, we closely scrutinize the respective treatments and processes to identify and implement improvement potentials. This is done through peer review processes, as a case discussion in a review board: Specially trained medical experts from Helios hospitals as well as from the IQM review the medical irregularities and, together with doctors from the respective hospital, systematically seek approaches for improvement. Their insights can then be translated into concrete recommendations for action on the part of the hospital. In 2019, we carried out a total of 60 peer reviews at Helios.

Our Central Service Medicine holds the responsibility for the organization of our quality management. Simultaneously, our 29 medical expert groups ensure that the knowledge from each of their specialist fields is disseminated in a correct and meticulous manner throughout all our hospitals.

Helios corporate medical goals, G-IQI version 5.20H, 2019

PREMATURE DEATH FROM:	FATALITIES/NUMBER OF PATIENTS	TARGET VALUE AND RESULT IN PERCENT
Gall bladder removal due to gallstones	20/8779	<0.47 0.23
Hernia surgery without removal of intestines	11/12725	<0.11 0.09
Colon removal due to bowel cancer (without a complication diagnosis)	34/1581	<4.7 2.15
Rectum resection due to bowel cancer	20/772	<3.6 2.59
Colon and rectum removal due to an exstrophy of the intestinal wall (diverticulum) without abscess/perforation	2/332	<0.9 0.60
FURTHER TARGET VALUES		
Proportion of laparoscopic operations for gallbladder surgery due to gallstones	8488/8779	>93.4 96.69

Excerpt from the results of the 2019 G-IQI quality indicators for Helios Germany. All other results have been published on our website.



60 peer reviews were carried out to improve treatment quality.

Observing hygiene standards

To ensure outstanding medical quality, it is crucial for hygiene standards in hospitals to be strictly observed. Our Helios Group Hygiene Regulation is based on recommendations from the Robert Koch Institute and consists of concrete behavioral guidelines such as regular hand sanitizing. Local hospital hygienists and hygiene specialist nurses carry the responsibility for implementing these guidelines and training our employees. We are also the only hospital operator in Germany who, every six months, publishes the occurrence of any multi-resistant pathogen-related events in our hospitals. This information indicates how many patients have brought the respective pathogen into the hospital and how many have acquired it during their stay. This transparency of the hygiene status of each individual hospital provides an incentive to act quickly in the case of any anomalies and to identify potentials for improvement.

Ensuring patient safety

Our patients' safety is our top priority – which is why we have directly anchored the responsibility for this central issue with our Chief Medical Officer and have also created the additional position of Patient Safety Officer. Measures are provided, with additional support for their implementation, by the Central Services Medicine and our Medical Specialist Groups. Furthermore, in 2008, Helios became a member of the German Coalition for Patient Safety, which consists of patient associations, hospitals, health insurance companies and other stakeholders from the health care sector. It advocates for safe health care. Over the past few years, Helios has been actively involved in individual working groups of the organization, regarding such issues as drug safety and the treatment error register. In a recent position paper, the Coalition investigated the transparent and systematic collection of key figures.



Antibiotics reporting as an important instrument for fighting multi-resistant pathogens

Innovative antibiotics management

Severe antibiotic-resistant pneumonia – this is a scenario that is likely to occur more frequently in the future. According to the World Health Organization (WHO), more people will probably die of an infection caused by multi-resistant pathogens than of cancer in the coming years. In 2019, the Helios working group Antibiotika Surveillance (ABS) developed a model antibiotics management program to counteract this development. It includes antibiotics reporting and, in the future, will be rolled out in all Helios hospitals to ensure that knowledge about suitable antibiotics therapies is widely spread. The program also seeks to provide continued on-site and online training regarding this topic for all employees of all Helios inpatient wards. The development will be monitored via peer reviews.

In addition to our system for medical quality measurement (see p. 14) we have also established our own system for measuring patient safety. It combines the internationally established Patient Safety Indicators from the U.S. Agency for Healthcare Research and Quality (AHRQ) with specific Helios indicators. The latter include, for instance, the number of abdominal towels or surgical instruments left behind in a patient's body during surgery, as well as wrong-site surgery, serious medication errors, falls or misdiagnoses at the hospital. Our new Group-wide regulations for dealing with damage claims, introduced in 2019, require all Helios hospitals to systematically record and centrally report these indicators. We will establish differentiated reporting on this topic by the end of 2020. We plan on publishing this on an annual basis, too, as part of our future sustainability reporting.

We are already in a position to disclose some insights from this field: Over the past few years, an average of 0.9 out of 1,000 patients have brought forward medical malpractice claims (both justified and unjustified) against Helios hospitals. Our goal is to remain below one such claim for every 1,000 full inpatient stays. Such claims include all medical fields to varying degrees and all treatment stages including patient education, diagnostics, surgery, therapy and aftercare.

Approximately one quarter of all medical malpractice claims are clarified via an advisory body and arbitration boards of the medical chambers, who publish an annual report on this topic. Participation in such procedures is voluntary for doctors and patients and can involve the collection of comparable figures. A medical malpractice rate of about 30% was reported as the German national average for the past three years. The level of Helios cases registered with the medical chambers lies at 29%, and is thereby at a comparable level. All other procedures are clarified either directly with the claimants, through court procedures or with the involvement of the respective health insurance companies (Medical Service of the Health Funds, MDK). Comparable figures from such cases are either unavailable or cannot be represented.



Hybrid OR at the Freital site of the Helios Weißeritztal hospitals

Hybrid OR

In 2019, one of Germany's most cutting-edge operating rooms was opened at the Freital site of the Helios Weißeritztal hospitals. We invested €3.5 million in this facility. The benefit of the new technology lies in its ability to provide gentler and shorter treatments than previously, and with a far lower radiation load.



In every issue of our **H Magazine**, we present an **error** from the past and explain how we went on to **learn from it**.

Our own Helios patient safety indicators are recorded independently of any legal procedures. For such cases as intervention errors, wrong-site surgeries and foreign objects left inside the body, all of which are considered easily preventable, an average of one wrong-site event per 47,000 patients and one foreign object per 78,000 patients were found. A reporting obligation for these indicators already exists in some countries – including the United Kingdom and the United States – and they are publicly disclosed. We analyze these reports, not least to help us assess and rank the effectiveness of our previous approaches by international comparison.

Learning from errors

Wherever people work, errors can happen. Openness about errors that do occur is an integral part of our company culture – which is why we present one such case from our liability processing in each issue of our H Magazine.

To achieve our goal of transparency in our malpractice management, Helios mostly processes and regulates its liability cases in-house rather than contracting an insurance company for this purpose. This allows us to intensively deal with the transparent analysis of our liability cases. This is how we can learn from individual errors for all of our hospitals and for the future.



We **handle** the majority of our **liability cases** ourselves.



In 2019, we began centrally analyzing any reported critical events via our **Critical Reporting System (CIRS)**.

Reducing malpractice cases

As part of our twice-yearly Helios specialist group convention, the topic of patient safety is regularly treated as a thematic priority. Recommendations for action, Group-wide regulations and targeted reviews of damage cases as well as other aspects of patient safety are exchanged and discussed.

As early as in 2009, Helios introduced mandatory checklists for all its surgical interventions to minimize risks for patients before, during and after surgery. In addition, for every confirmed treatment error, the respective hospital is requested to provide the measures taken, and these are then centrally analyzed. Furthermore, in 2019 we began to centrally and uniformly record critical events and anonymously reported “near misses” in our Critical Incident Reporting System (CIRS). A total of approximately 400 events were reported in 2019, and these were analyzed at the hospital level and closed through measures initiated to prevent similar events from happening in the future. We are currently in the process of establishing a central register and are working toward expanding our cross-facility analysis.

Increasing patient satisfaction

We want to ensure that our patients leave our hospitals not only healthy, but happy, too. Open feedback during and after treatment is important to us – so we can respond quickly to each individual’s experience during their treatment, and so we can improve the quality of care in our hospitals for the long term.

We developed the Helios Service Monitor for just this purpose, and have been using it in our facilities since 2010. Since mid-2019, the Service Monitor has been operational in each of our 86 hospitals, reaching a total of 60% of our inpatients. Hospital employees survey our inpatients weekly regarding their overall satisfaction. The feedback is recorded via a tablet at the patient’s bedside. Should a patient be dissatisfied, they can immediately decide whether the respective staff from the area in question – such as housekeeping, patient care or the medical team – should be consulted to clarify any potential issues face-to-face. Our goal is to respond to the patients’ feedback within 24 hours. The data is subsequently anonymized and electronically processed in the Helios Service Monitor.

The survey results can be summarized by each hospital to provide daily, weekly or monthly results and are analyzed centrally, too. This data analysis delivers a general overview of patient satisfaction and makes evident the main points of criticism. Between July and December of 2019, we asked 382,106 patients throughout Germany for their opinion via our Service Monitor. Of those surveyed, 93% stated satisfaction. Typical points of criticism included meals and housekeeping, along with topics such as communication between the medical and care staff and the various medical departments.



Nasir from Afghanistan at the Helios Dr. Horst Schmidt hospitals in Wiesbaden

Surgeries for children from war and crisis zones

For over 15 years now, our hospitals have collaborated with the NGO Friedensdorf International e. V. and, as part of this collaboration, have offered free surgery to ill and often seriously injured children from war and crisis zones. The children are brought to Germany for their treatment and subsequently return to their families.



93% of our **patients** are **satisfied** with their treatment at Helios.

Digitalization made safe

As a leading hospital operator in Germany, we want to make the best use of digitalization’s potential to improve the quality of health care. Helios invests approximately 2% of its turnover in digitalization – about €190 million in 2019. The expansion of digital offerings also aims to improve our services for patients. This is why we pursue a variety of initiatives for finding digital solutions in the hospital.

One example of how we use digital technologies to improve medical quality is the holding of tumor conferences online. Independent of their location, several experts from a variety of fields come together digitally to examine oncological findings and engage in consultation and exchange about the right therapy for cancer patients. In the context of digital pathology, multiple experts can come together to discuss pathological results. In 2019, the first Helios hospitals introduced the Helios patient portal. Via personalized access, patients can consult such things as letters from physicians and findings from outside the hospital or outpatient center. The portal is also where patients can make appointments online in hospitals and outpatient clinics. The patient portal is currently available for 25 of our 86 hospitals and by the end of 2021, it will be rolled out for all of them.

Digitalization offers many opportunities for making health care more efficient. Yet, during the development phase of digital products, the protection of personal data is especially important. Health-related data is highly sensitive and receives special protection to prevent unauthorized access.

At Helios our in-house Central Data Protection Service is responsible for the implementation and further development of the Helios data protection management system. This service reports directly to our CEO, Franzel Simon. In addition, five Regional Data Protection Coordinators, 99 Data Protection Officers and multiple Data Protection Coordinators in our hospitals ensure the implementation of data-protection requirements. Our Data Protection Officers at Helios are responsible, among other things, for carrying out regular risk analyses, checking and documenting new data processing tasks, holding audits or training sessions and raising the awareness of employees regarding data protection issues.



99 data protection officers ensure the implementation of data protection requirements.



Achieving great things together

The day-to-day work experience in our hospitals requires that our employees give their utmost. To be able to meet the high standards we hold ourselves to, we treat each other fairly, support and show up for one another. We promote our junior employees and provide our staff with security as well as development opportunities for a healthy future.

Assuming responsibility for our employees

Our employees are the driving force behind our patient care. It can be very strenuous for them to be involved in the treatment of patients who are seriously ill. Our employees also continuously develop our company in all areas. For 25 years now, we have been a growing, medically and economically successful hospital operator – and it is thanks to them.

Despite all of this, we face great challenges when it comes to human resources. These challenges have arisen from a shortage of skilled labor on the job market, the digitalization of the health care sector, the demographic changes in society and the multiple regulatory interventions over the past few years.

To successfully and sustainably shape the changes of the working world for Helios, we need a viable long-term human resource strategy. Our goal is to offer our employees a workplace they can fully identify with and that offers them opportunities for development – because it is only by creating and offering future-oriented jobs that we can be attractive for our potential job applicants.

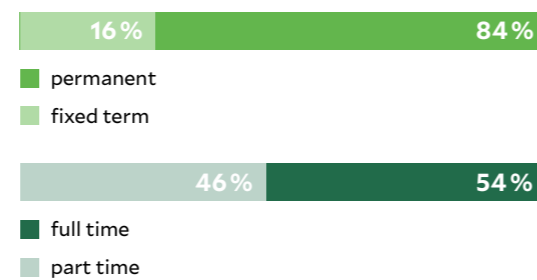
The responsibility for Human Resources at Helios rests with our Chief Human Resources Officer. Controlling rests with Central Services HR and Collective Bargaining as well as Staff Acquisition and Development. They initiate overarching strategies and concepts, coordinate company-wide activities and support our regions regarding a variety of HR issues. Regional officers look after the specialist supervision of HR management in our decentralized company organization at the regional level. They form an interface between the company headquarters and the hospitals, where operative HR departments look after local staff.

As of December 31, 2019, Helios Germany employed a total of 68,613 people (66,465 in 2018), 76% of whom were women and 24% of whom were men. Of our entire workforce, 84% are permanent employees. Fixed-term contracts primarily arise from short-term staff shortages and replacement situations. Residencies for specialist training also tend to take place in the form of temporary employment. The majority of our apprentices are employed with a fixed-term contract as well. Of our employees, 54% work full time and 46% work part time. Furthermore, the working conditions of 84% of our employees are regulated by collective bargaining agreements. More detailed data about our employees can be found in the [Key figures chapter on p. 48](#).

Employees



Work contract and employment



Acquiring and training talent

Like all hospital operators, Helios has been struggling with the skills shortage in some regions and specialist fields. The statutory introduction of a lower nurse-to-patient ratio together with our high standards regarding scheduling dependability and workload relief for our employees has led to a pronounced shortage of skilled labor in nursing care at Helios. To counteract this development, we have established a central HR Marketing department specifically for the area of nursing care. We have also increased our nursing apprenticeship openings and carried out a nationwide nursing care recruitment campaign, “The most important job in the world.” Overall, we managed to recruit 1,300 new nurses. In the years to come we hope to reach other relevant professional groups through targeted HR marketing.

In 2019, 4,398 apprentices received training in our 29 in-house training centers and in the context of collaborations with external education partners (2018: 3,859). We had a total of 3,554 nursing apprentices in the three apprenticeship years (2018: 3,150). In 2019, the rate of nursing apprentices hired permanently by Helios upon completion of their training was 79% per graduating year (2018: 68%). In 2019, Helios also employed a total of 573 clinical trainees, 718 medical students doing their practical year with us, and 4,447 doctors in continuing professional development.

Further data regarding our apprentices and new hires can be found in the [Key figures chapter on p. 49](#).

Apprentices

	2017	2018	2019
Number	3,711	3,859	4,389
Hiring rate*	66 %	68 %	79 %

* The hiring rate refers to all nursing apprentices who graduated in 2019.



Workshop for developing a company vision and mission in our Central Region

Defining our vision and mission

In 2019, we set off the development process for a company vision and mission with the objective of involving as many employees in this complex process as possible. Over the course of five regionally moderated workshop events with over 100 employees participating in each, we gathered information about what Helios truly represents for each individual, what self-understanding drives each person’s work motivation, what holds together our teams in our hospitals and administration, and – not least – what principles should guide our company in the future. The results of these events will contribute to the definition of a vision and mission for Helios, which will then be anchored in the company through a multi-stage internal communication process. This process will be completed in 2021.

As part of our two-year traineeship, university graduates have the opportunity of getting to know several of our hospitals from within the entire company and from different regions. Graduates are deployed in both medical and non-medical departments – from patient care to hospital management. The objective is for them to learn about operative and strategic hospital management in specialist departments and in collaboration with the local employees. They acquire additional knowledge through their participation in a modular class program. Our trainees select a traineeship from the areas of Hospital Management, Medical Technology, Care Management, HR Management as well as Finance and Controlling. In 2019, Helios had 38 trainees.

Promoting development

The specialist and personal development of our employees is essential for ensuring high quality health care – which is why Helios offers a wide range of continuing education opportunities, bundled in our Helios Academy.

The professional development and training of our employees is for the most part planned and implemented at the regional level. A company-wide goal requires that hospitals invest approximately 0.4% of their annual turnover in the training and continuing education of their employees. In 2019, the actual financial investment made by our hospitals averaged 0.43% (2018: 0.38%).

Our employees can choose from a wide range of in-house Helios training and continuing education offers:

Our database of seminars alone consists of 600 to 900 training classes per year. These specialized and non-specialized training courses give employees the opportunity to educate themselves according to their personal focus.

Our ‘best service’ promise applies not only to our patients, but to our employees as well. Winning over dedicated young people for our company once they’ve completed their education, creating incentives for our employees to develop and engage in the sustainable development of Helios – we’re already doing pretty well at this, but we want to do even better.



Corinna Glenz
Chief Human Resources Officer



We offer **600 to 700 continuing education classes** per year in our seminar database.

Over 35,000 e-books and more than a thousand scientific journals can be accessed online at the Helios Central Library. In addition, all employees have unlimited access to both the current studies database PubMed – with its approximately 8.5 million articles and studies – and the UpToDate service.

Since 2015, teams of medical and care staff have had the opportunity to undergo training at our simulation centers in Hildesheim, Krefeld and Erfurt. Together they have tried out simulation scenarios to continuously improve treatment quality as well as cross-professional collaboration.

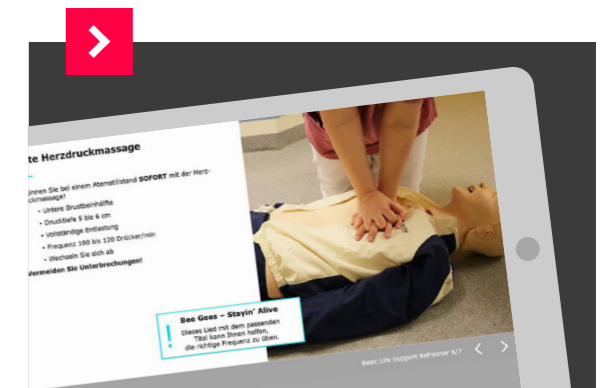
We also launched our company-wide “Patient-centered communication” program in 2019, where our employees are trained in observant communication with patients, family members and colleagues. The training approach focuses on the development of friendly, stress-free interactions with one another in the workplace – even in tense situations. The training program was first developed by the Helios hospital in Erfurt, where some 750 employees received training between 2013 and mid-2019.



The Helios Central Library enables access to approximately **35,000 e-books and scientific journals**.

The program has since been rolled out across the entire company: In 2019, 40 employees started their training as program instructors. From 2020 onward, they will be able to hold classes themselves at our hospitals and training centers. Some 900 employees have participated in these classes up until now. The goal is to provide all Helios employees with patient-centered communication training over the coming years.

We familiarize any new executive staff with their remit through additional onboarding programs.



E-learning program on “Preventing emergencies at the hospital”

Helios knowledge goals

Our annual Helios knowledge goal on defined focus topics is a central element of knowledge transfer for all Helios employees and across all professional groups: In 2014 we began defining one or two annual strategic focus topics, which are conveyed to our employees through e-learning programs. Our topics for 2019 – “Preventing emergencies at the hospital” and “Compliance” – reached 50% of our employees, 33,836 in total.

Targeted support for reconciling work and family life

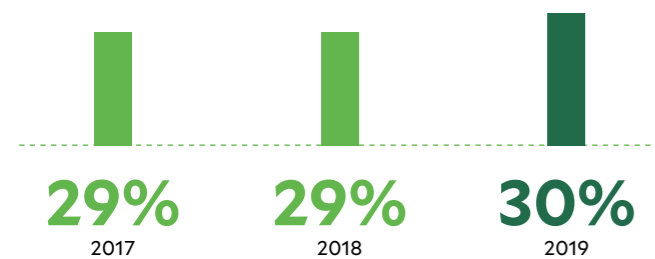
Working at a hospital comes with significant challenges for our employees' families due to shift work and changing working hours. This can make the reconciliation of family and work life difficult. For this reason, Helios has provided targeted support in this field for many years now in an effort to facilitate the situation.

For people working varying shifts, there is often a lack of childcare options. To improve this situation, we offer childcare options in 35 of our locations throughout Germany. This includes daycare at hospital sites, reserved spots at local childcare facilities as well as 24-hour in-house care centers, company preschools and vacation daycare. In 2019, 709 of our employees' children were able to benefit from these options.

We also support the reconciliation of work and family life through flexible working hours and part-time arrangements, job-sharing options and additional training programs during parental leave.

In 2019, a total of 4,060 of our employees took parental leave (2018: 4,833), 3,345 of whom were women and 715 of whom were men. As early as in 2007, we laid down childcare support of up to €150 per month in our company collective wage tariff agreement, which employees can receive should they return earlier from their parental leave.

Women in executive positions



Living diversity and equal opportunities

As a responsible employer, it is of utmost importance that we act in a way that is free from discrimination and that encourages equal opportunities. No one is to be disadvantaged at Helios due to their geographic or ethnic origin, their gender, age, disability, religion, worldview or sexual identity.

It is our goal to increase the proportion of women in executive positions for the long term. In 2019, 30% of our executive positions were held by women (2018: 29%). At the clinic level, 39 of our facilities have already defined concrete target values through legal provisions. Detailed data on women in executive positions at Helios can be found in the [Key figures chapter on p. 50](#).



OUT@Helios-Truck on Christopher Street Day in Berlin

Queer Community OUT@Helios

Since early 2019, an organized queer community has existed at the Helios hospital in Berlin-Buch. Through regular get-togethers and a team of contact persons, the OUT@Helios community stands for diversity and tolerance. Our participation in the 2019 Christopher Street Day was also a good opportunity to publicly declare: At Helios, everyone can and should be their true selves. Around 180 employees celebrated together on our float.

Ensuring work safety and health protection

As a health care provider, we consider it a matter of course to offer our employees a safe and healthy work environment. We regularly carry out job-related risk assessments to identify hazards. These can include such things as cuts and stabs, which we work to prevent through educational work, stab-proof cannulas and protective vaccinations.

The high hygiene standards required of our employees can be taxing on their skin. Along with general information about the correct use of sanitizers, we also advise our employees about personal skin protection and glove planning. The repositioning of overweight patients can also lead to back problems in our nurses. To prevent this, we provide positioning and carrying aids to our employees and offer support by creating ergonomic workplaces.

Up until 2018, occupational health care and workplace health promotion was organized in a decentralized fashion and only partly company-wide. In 2019, to ensure the best possible occupational medical care for our employees, we decided to establish a central Helios occupational health care unit. This enables us to provide care to 70% of our own employees in-house and already to a uniform standard. Furthermore, we also started passing on our internal knowledge to other companies and offering occupational medical care to external customers, too.

Our first step toward expanding this field involved our taking over of the "Mitteldeutsche Institut für Arbeitsmedizin," which is certified to MAAS-BGW and ISO 9001 standards. For 2020, we are planning on establishing further centralized processes, such as the introduction of uniform guidelines in the areas of maternity protection, radiation protection, operational integration management and screen work. Furthermore, we want to use digital training options to sensitize our employees to issues relating to health in the workplace.

Observing and analyzing staff turnover

We are not always successful in retaining our employees. In 2019, the rate of employee resignations saw a slight increase to 9.1% as compared to the previous year (2018: 6.9%). This is due to the fact that, since 2019, employee-initiated termination agreements are included in this figure. Our employees remain with Helios for an average of 10.6 years (2018: 10.8 years).



The winner of the "Close to my heart" competition at the Helios hospital in Pforzheim

Employee engagement

We support the varied voluntary engagement of our employees through such things as the "Close to my heart" competition, which took place in several hospitals in 2019. Employees had the chance to win 25 hours of paid leave and €500 in funding for a social project of their choice. In addition, Helios employees are given the option of making a donation out of the decimal cent amount of their net wage. In 2019, a total of €2,500 was raised this way and donated to the Oberhausen food bank.



More of less

A hospital requires a great deal of resources and power every day – and this comes with the responsibility to keep its ecological footprint to a minimum. We meticulously analyze our resource consumption to reduce energy consumption, emissions and waste and to always guarantee excellent water quality. This is how we contribute to a healthy future.

Helios environmental management system

The health of our environment impacts human health in clearly demonstrated ways. This is why environmental protection must form an integral part of sustainable hospital operations. How can we ensure dependable energy provision in our hospitals without using fossil fuels? Where can we cut down on greenhouse gas emissions? How can we reduce waste, such as in the operating room?

In 2019, to systematically answer these and other questions relating to the environment, we set up a company-wide environmental management system headed up by the Infrastructure business unit. In 2020, we will certify all facilities, hospitals and outpatient clinics according to the ISO 50001 norm (Energy Management Systems).

We plan on completing this certification by the end of 2020. We have also initiated an ISO 14001 (Environmental Management Systems) certification process, which is set to be completed by 2021. Both norms already form the basis for our activities in the areas of environmental and energy management. Additional site-specific measures complement these systems.

The Infrastructure business unit directly reports to our Chief Operating Officer and develops recommendations or actions along with guidelines for our facilities. These are then applied and implemented at the local level. Our COO also coordinates the collection of environmental data for all Helios facilities. The facilities oversee the operational implementation of environmental measures independently.



Enrico Jensch
Chief Operating Officer

“Saving resources while at the same time ensuring maximum safety for our hospitals and patients – this is the field of tension where we must explore sensible and beneficial innovations for environmental protection, taking them into careful consideration before we implement them. To this end, we want to use the swarm intelligence of our large network of 86 hospitals to identify the right innovations and make them applicable to all our facilities.”

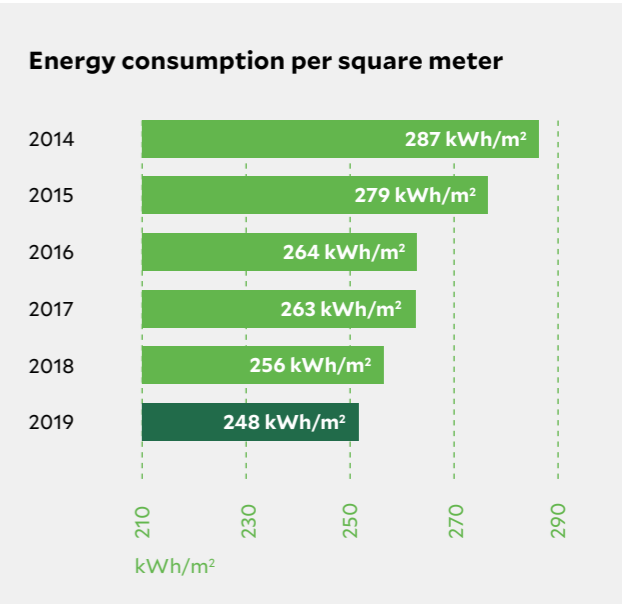
Monitoring energy consumption

Helios considers energy efficiency measures particularly important for the future-oriented operations of our hospitals. Hospitals must also be able to provide stable power to their patients in an optimal fashion, and at all times.

In 2014, to obtain a permanent overview of our energy consumption, we started capturing energy data from all Helios locations as part of a central energy procurement and management system. This has enabled us to compare hospitals' consumption data, initiate improvement measures in a targeted manner and share best practices from individual hospitals from the Helios network.

In 2019, we used 927,795.2 kWh of power, of which 98% came from non-renewable energy sources and 2% from renewable energy sources (more information can be found in the [Key figures chapter on p. 52](#)). We want to increase our use of renewable energies and are currently investigating the potential installation of photovoltaic systems at our sites starting in 2021. These could cover 4% to 5% of our overall electricity requirements and further raise our own generation rate, which currently lies at 20%. From our overall electricity consumption, 84% comes from externally acquired energy and 16% from self-generated energy.

For better comparability, we determine the relative energy consumption of each hospital. In 2019, the average energy consumption per hospital bed lay at 26,761.2 kWh (2018: 32,905.5 kWh). Energy consumption per square meter of used space has decreased by 14% over the past five years. In 2019, it lay at 248.4 kWh/m². Helios is therefore on its way to reaching the EnEV standard for non-residential buildings.



Since 2014, our hospitals have had **systematic energy benchmarking** in place.

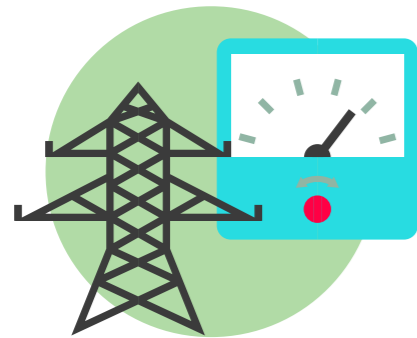


By the end of 2020, 100% of Helios facilities will be **DIN EN ISO 50001**-certified.

Increasing energy efficiency

We operate 70 combined heat and power plants and four micro gas turbines in 47 of our 86 Helios locations. Their highly effective fuel use enabled us to lower our energy consumption. Our combined heat and power plants also ensure that approximately 20% of the energy we use is self-generated, contributing to the secure and uninterrupted energy supply of our hospitals. Further combined heat and power plants will be installed at three additional sites in 2020 and others are in planning.

To further improve the energy efficiency of our facilities, various working groups are continuously working on ways to cut energy consumption in our day-to-day use of technology in our hospitals. For instance, Helios has introduced a company-wide decrease in operating room ventilation: The ventilation systems in operating rooms are now switched over to their energy-saving mode at night, as this does not negatively affect air quality. In some locations, the operation of kitchen cleaning devices such as the dishwasher conveyor belt was switched over to a combined heat and power plant – from purely electricity-powered heat generation to waste heat use through cogeneration.



70 combined heat and power plants and **gas turbines** generate one fifth of the company's overall electricity consumption.



Campus bikes in front of the Helios hospital in Berlin-Buch

Going by bike – environmentally friendly and healthy

Traveling by bike is a healthy and environmentally friendly way of getting from one place to another in everyday life. In 2019, our hospitals began offering employees the option of leasing a bike. This idea has been well received and is particularly worthwhile for commuters traveling shorter distances. They are granted unlimited bike use in their spare time, too. In addition, 50 rental bikes are available on our Berlin-Buch campus for covering the distance between the local train station and the workplace. The use of campus bikes is free of charge for the first 30 minutes.

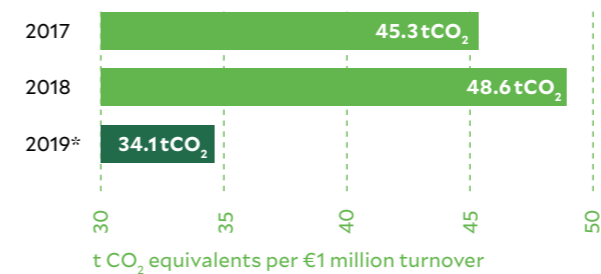
Avoiding emissions

The structure and structural condition of health facilities directly impact their energy consumption. Helios is continuously investing in new buildings and modernizations to meet current energy standards and regulatory requirements.

In 2019, we emitted 202,469 tons CO₂ through energy consumption from external suppliers, amounting to 34.1 tons CO₂ per €1 million in turnover (2018: 48.6 tons CO₂). Approximately 42% of our emissions arise from heating our buildings (Scope 1) and 58% from electricity used in our facilities (Scope 2). More detailed information can be found in our [Key figures chapter on p. 53](#).

We primarily achieve emission reductions through energy efficiency measures ([see p. 34](#)). Through our own electricity generation from combined heat and power plants alone, we save approximately 22,000 tons CO₂ per year as compared to complete external energy procurement.

Greenhouse gas emissions



* The figure for 2019 no longer includes the outpatient post-acute care centers, which have become part of Vamed.

We are currently not compiling Scope 3 emission information. However, we are intent on also reducing such emissions that specifically relate to the mobility of our employees. We currently offer them the option of bike leasing at 21 of our locations, and from 2020 onward, the use of e-mobility as a company car option will also become possible.

Keeping an eye on water quality

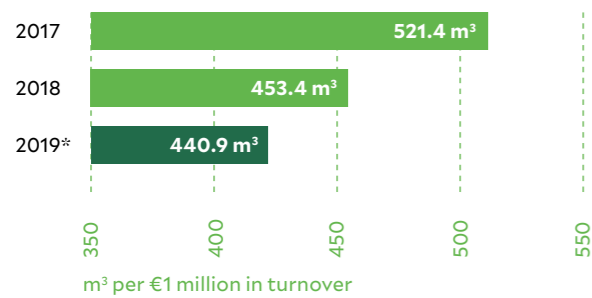
For us as a hospital operator, water is one of our most important resources. At Helios, it is of top priority that we reliably comply with the provisions of the German drinking water ordinance (TVO) to maintain water quality. This way we ensure that our patients, employees and other people are at no time in danger. This is also why our Central Services Hygiene and Housekeeping as well as the Infrastructure business unit intensively deal with topics related to water quality.

The handling of resource water in health care facilities is subject to many strict legal regulations. We have our own action guidelines and requirements as well to determine hospital-specific processes and further internal Helios requirements regarding the quality of drinking water.

One example of this is our pipe flushing plan, introduced in 2018. It serves to prevent water from remaining in pipes for critical periods, so as to prevent microbial contamination in the pipes. The plan requires pipes in public areas, such as patient rooms, and non-public areas, such as utility rooms, to be flushed after 72 hours at the latest. This task is done by our cleaning staff and technical operation services. This has allowed us to significantly reduce the number of negative findings from water analyses during standard inspections carried out by the authorities.

In 2019 we used approximately 2,619 million m³ of water, which is approximately 441 m³ per €1 million in turnover (2018: 453 m³ per €1 million in turnover). About 99% was supplied by public utilities; 1% came from recycling rain and well water. The fact that we rely almost entirely on public water supplies is due to the high demands on water quality in health care facilities and regulatory hygiene requirements. This means that we can only use rainwater, for example, in such areas that are not critical for patient safety.

Water consumption



* The figure for 2019 no longer includes the outpatient post-acute care centers, which have become part of Vamed.

The discharge of wastewater is also subject to strict regional and local legal regulations, which are monitored by the respective wastewater disposal authorities. Any deviations are directly reported back to the hospital in question and passed on to all relevant functions in the company along established reporting trails. This way the Infrastructure business unit can provide specialist support in remedying the issue.



Water bottles for our employees in Wiesbaden

Environmental campaigns in our hospitals

Our hospitals regularly carry out employee campaigns on environmental protection, among other topics. In the fall of 2019, for example, many hospitals in the Central region were given free bamboo coffee cups and glass bottles to sensitize employees to waste prevention.



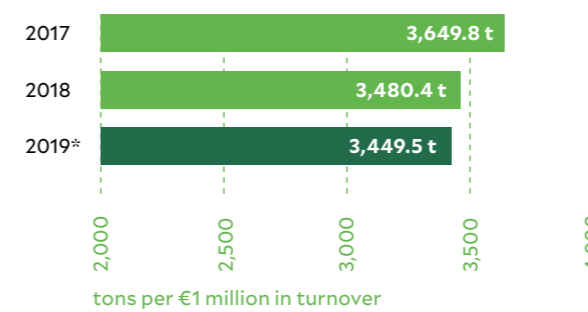
We have developed internal management systems to **ensure** our **water quality**.

Waste reduction and professional waste disposal

To meet the strict hygiene requirements of hospital operations, sterile medical instruments and aids are used. Reusable sterile materials are packed separately in line with hygiene regulations. In addition, many single-use materials are used in hospitals and the professional and safe disposal of their waste must be ensured. In the process, requirements regarding environmental, occupational and infection protection as well as hospital hygiene must be considered. This covers everything from the choice of suitable disposal containers, to cleaning and sterilization procedures all the way to the work safety of our employees and the disposal of dangerous, perhaps even infectious, waste.

In 2019, we generated a total of 20,490 tons of waste. About 99% was classified as nonhazardous, which includes wound dressings and casts, disposable medical apparel, and household-type waste. The remaining 1% consisted of waste presenting risks to human health and the environment, such as infectious waste, dangerous chemicals, or critical drugs. This type of waste is handled via special waste channels and procedures ensuring their safe disposal. Detailed information about our waste generation can be found in the [Key figures chapter on p. 54](#).

Waste



* The figure for 2019 no longer includes the outpatient post-acute care centers, which have become part of Vamed.

The types of waste disposal are strictly regulated by municipalities and districts in which our facilities are located. Specially trained employees in our hospitals are responsible for ensuring compliance with the respective regulations. The various disposal methods we use (e.g., recycling, composting, incineration, landfill) are not yet monitored and analyzed in a centralized manner.



In 2019, **99%** of our waste was classified as **nonhazardous**.



Keeping an eye on everything

We know full well that not everything can be controlled. This does not, however, keep us from striving to achieve the best possible results in a transparent and honest manner. We have established clear processes and management systems to identify risks early on and to prevent corruption or any behavior lacking integrity as well as to ensure that these regulations are adhered to. We are independent and incorruptible – for a healthy future.

Promoting action with integrity

Since our founding in 1994, transparency and independence have been the guiding values for our (entrepreneurial) action. The disclosure of all collaborations and the strict separation of collaborations and procurement decisions are prerequisites for making high-risk collaborations and conflicts of interest transparent, and for enabling independent decisions.

The trust that both our patients and our partners grant us is based on our consistent focus on providing optimal medical solutions and remaining independent from third parties. This has made us stand out in the health care market through our clear line regarding the procurement of pharmaceutical and medical products.

Even in the early stages of our 25-year company history, we were pioneers in our work by setting strict anti-corruption rules for ourselves and establishing suitable managerial structures to ensure that these rules would be adhered to throughout the company.

The implementation of the Helios Compliance Management rests with the central Compliance Officer. She reports directly to the Management Board. The Regional Transparency Officers in the area of corruption prevention provide her with special support. The local Managing Directors of the individual Helios companies are responsible for ensuring that these compliance regulations are adhered to.

Integrity-based behavior at Helios builds on the three columns of prevention, detection and response:

- **Prevent:** Compliance risk analysis and evaluation, establishment of structures and processes, development and execution of risk minimization measures
- **Detect:** Adherence and effectiveness monitoring of compliance regulations, provision of a violation reporting system
- **Respond:** Uniform handling of violations, continuous development of the compliance system

Since 2017, the principles governing our compliance culture have been summarized in our Compliance Code. This covers the overarching principles in the topical areas of medical ethics, invoicing of medical services, patient safety, data protection and conflicts of interest.

The Compliance Code is complemented by over 20 specific Group regulations that apply company-wide and refer to specific groups of employees or topics. This includes, for instance, our regulation regarding the mandatory use of OR checklists and the Helios Group Transparency Regulation, which defines our collaboration with external partners. The Helios Group Transparency Regulation has existed since 2001 and is updated and developed on a continuous basis.

Every Helios employee at the executive level is obliged to disclose any professionally relevant conflicts of interest in a so-called transparency statement on our intranet. This personal statement includes information about any stakes they may hold in the development of medical products or any other involvement in the pharmaceutical or medical devices industry. By doing this, our executives set a clear example for our employees on an internal level. Externally, this practice also strengthens the credibility of Helios as an objective and independent partner.

At the level of our medical specialist groups, to which many of our executives belong, we regularly review whether all members have submitted a transparency statement. In 2019, about 91% of our over 1,000 specialist group members had done so. To increase this rate even further, we will continue to inform members at specialist group events about the relevance of the transparency statement and actively raise awareness, particularly among newly hired executives, about acting transparently and with integrity.

Helios joined Transparency International Deutschland e. V. as a corporate member in 2008. In the context of this membership, our Chief Compliance Officer regularly makes a voluntary declaration as a clear commitment of the company management and all supervisory boards to the company's anti-corruption policy. It also serves as a model for executive behavior in terms of conflicts of interest and dilemma situations. In 2019, we submitted this voluntary declaration of commitment to Transparency International.



2019 specialist group convention in Berlin

Medical specialist groups at Helios

The head and senior physicians from the various medical fields and from all Helios hospitals form respective specialist groups. The 29 groups represent their fields internally and externally. They ensure that the knowhow of their discipline is anchored in all hospitals. They provide consulting and make decisions on standard processes regarding treatments, the introduction of sensible innovations, campaigns, and medical products. Moreover, they provide support in filling the positions of head physicians.

Our compliance management system



Prevent

- Compliance culture
- Compliance risks
- Communication
- Regulations
- Consulting

Detect

- Examinations
- Incident management
- Continuous development

Respond

- Reviews
- Reporting
- Feedback

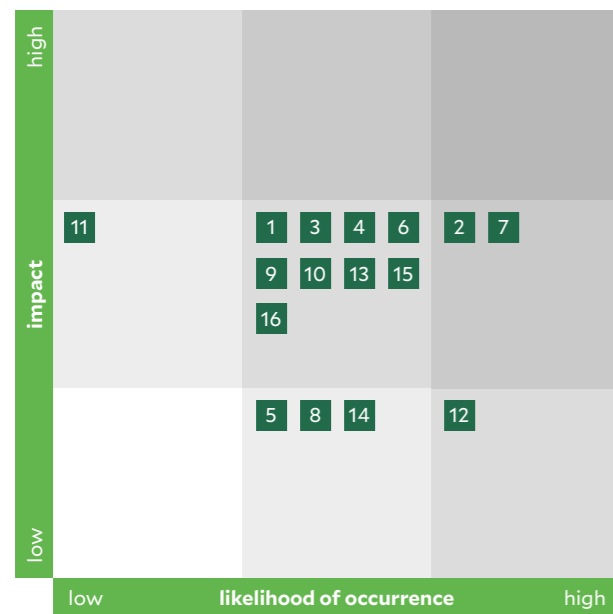


About **91% of members of our medical specialist groups** had submitted a **transparency statement** by the end of 2019.

Managing compliance risks

The systematic capture and assessment of compliance risks became an integral part of our corporate risk management in 2016. For us, compliance risks are any risks related to potential violations against legal provisions, internal regulations, or self-commitments we have pledged that have resulted in damages to the company or to the employee in financial, reputational or ethical terms.

The risks are systematically recorded by means of the existing steering tools and assessed during an annual monitoring process according to their probability of occurrence and potential consequences. The risk analysis for 2019 yielded the following results:



Compliance risk groups

- 1 Fraud
- 2 Corruption
- 3 Invitations to tender
- 4 Corporate Governance
- 5 Money laundering
- 6 Quality
- 7 Data protection
- 8 Intellectual property
- 9 IT
- 10 Occupational safety/ environmental protection
- 11 Supply chain
- 12 HR
- 13 Competition
- 14 Taxes
- 15 Clinical studies
- 16 Transparency

The results of the risk analysis are reported back to the company management and serve as a basis for decisions regarding the introduction of risk prevention measures.

Transfer of compliance knowledge

For the successful implementation of our compliance management system, all employees must be extremely familiar with our rules and understand the meaning behind them. Therefore, introductory training sessions on our compliance and anti-corruption regulations form an integral part of the onboarding process for new hospital employees. In 2019, over 100 executives and new purchasers received central training regarding our Group regulations in preparation for their new position. New business partners are informed about all aspects of our regulations as they pertain to them. For instance, pharmaceutical companies are not allowed to send representatives to our hospitals (see also p. 44).

Compliance was also chosen as one of the two central topics for the Helios knowledge objectives in 2019 (further information can be found in the [Employees chapter on p. 27](#)). In this context, 51% of our workforce – 33,836 employees – participated in a voluntary training course to deepen their understanding of compliance.



Compliance was a Helios knowledge objective in 2019.



Jörg Reschke
Chief Financial Officer

“For years now, the strict separation of product decisions and price negotiations has guaranteed transparency, independence and compliance in our procurement processes. A stronger focus on ecological and social aspects in the choice of our suppliers and in our supply chains will be the foundation of a new Code of Conduct for our business partners.”

Inspecting regulation compliance

If employees have suggestions for improving our compliance management system, they can submit them to their regional Compliance Officer at any time. Should they observe a potential violation of regulations, they can turn to a neutral ombudsperson, who was first appointed at Helios in 2018. This person provides advice to the informant and will pass on the respective information to the responsible person – anonymously if requested.

We also carry out transparency inspections on a regular basis – annually since 2019. These serve to verify compliance with our Group Transparency Regulation regarding collaboration agreements in our hospitals. In 2019, 10 hospitals – two per region – were chosen according to predefined inspection criteria and reviewed with regard to relevant agreement contracts. Compared to the first inspection period in 2017, there was a clearly positive development: The regulations were fully complied with by two hospitals and largely complied with by the other hospitals.

In three cases, an agreed-upon collaboration had proved non-compliant with Group regulations. This was the case with 35 collaboration agreements in 2017. The responsible hospital and Regional Managers were provided with information about the cases of non-compliant collaboration and future avoidance was agreed upon.

Beyond this there were no confirmed violations of relevant legal provisions or compliance regulations in 2019. Violations are dealt with in a case-by-case manner.

From 2020 onwards, as an additional prevention measure, we will carry out an inspection of further corruption risks in our acute care hospitals. Furthermore, we plan on establishing a systematic procedure for dealing with violations.

Independent product decisions

We procure a wide variety of products for our patient care from external business partners. Our product needs fall into five general categories:

- › Medical supplies
- › Laboratory
- › Pharmaceuticals
- › Medical devices
- › Non-medical supplies

In 2019, we spent a total of €1.8 billion on these categories, with 97% of this amount spent with German country organizations of our suppliers.

Helios Central Service Purchase includes the complete controlling of the Helios supply chain (excluding internal goods logistics) and is thereby responsible for all relevant procurement processes in the above categories. The organizational structure of our Purchase Service is characterized by the division of work and a related specialization arising from this division of work. The head of Purchase holds the functional responsibility for this Central Service and directly reports to our Chief Financial Officer.

When it comes to the operational management of order processes from our 86 hospitals and 41 post-acute care clinics and our sister company Fresenius Vamed, the regional purchase departments provide product-related support while our central Service Center Purchase provides process-related support. Apart from these two areas, our 28 warehouse locations play an important role in supplying materials to our hospitals.

The respective contracts that we have agreed upon with our business partners are the core of a successful collaboration. This includes our expectations from our business partners as documented in the Helios Purchase Concept and the Helios Group Transparency Regulation.

Helios Purchase follows three fundamental guiding principles:

We rely on user experience:

The decision to purchase products and services is made by the respective Helios specialist groups (Operating Technology, Catering, etc.). A professional Purchase team with specific knowledge about the products and industries then negotiates with the suppliers and service providers. This way, product decisions and price negotiations are kept strictly separate.

We do not engage with sales representatives:

As decisions about the products we purchase are made by the relevant specialist groups, direct product sales from sales representatives is neither necessary nor desired in our hospitals. At Helios, only central and regional Purchase departments may be approached for marketing and sales purposes, not, however, any physicians or nurses.

We evaluate our suppliers objectively:

Every other year, Helios Purchase carries out a supplier evaluation. During the 2018 evaluation, 162 suppliers with a total purchasing volume of approximately €840 million were evaluated. This included the criteria of process quality, EDP quality, problem-solving behavior and staff quality. For tenders of purchasing volumes exceeding €3 million, relevant aspects regarding legal provisions are queried, too, for instance on legal social security contributions and minimum wages. Currently, only some ecological and social aspects are considered. Following the introduction of our new Supplier Code of Conduct in 2021, these aspects will also become part of our strict requirements. Helios Purchase is an active member of the Human Rights Council of our parent group Fresenius. The Council was established in 2019 and is currently developing a uniform risk assessment process regarding human rights, which should be completed by 2021. This will be then implemented by Helios Purchase when assessing Helios suppliers.

Our key figures

Transparency is the first step toward getting better. Therefore we compile multiple key figures and use them to gauge our performance.

Company profile

Sales and earnings

	2019	2018	2017
Sales	€5,940 million	€5,970 million	€6,073 million
EBIT	€576 million	€625 million	€725 million
EBIT margin	9.7%	10.5%	11.9%

Capital

	2019	2018	2017
Total capital	€7,873 million	€7,416 million	€7,639 million
Equity	€1,460 million	€1,170 million	€1,535 million
Loan capital	€6,413 million	€6,246 million	€6,104 million
Equity ratio	81.46%	84.2%	79.91%

Government funding

	2019	2018	2017
Funding used for investments in fixed assets	€115 million	€133 million	€114 million

Pension provisions*

	2019	2018	2017
Pension provisions as of Dec. 31, 2019	€93 million	€81 million	€87 million

* The figures on pension plans are based on IFRS accounting, while all prior tables are based on the German Commercial Code (HGB).

Patients

G-IQI* indicators

	2019	2018	2017
G-IQI targets	46	46	45
G-IQI targets reached	44	41	44
G-IQI targets reached in %	96%	89%	98%
Peer reviews	60	55	69

* German Inpatient Quality Indicators

Medical malpractice claims*

	2019	2018	2017
Total malpractice claims	1,082	1,051	1,056
Malpractice claims per 1,000 inpatients	0.9	0.9	0.9
Proceedings via medical associations**	263	199	250
Of which confirmed cases of malpractice	92	47	69
Malpractice rate	35.0%	23.6%	27.6%

* Figures only refer to acute care hospitals. They do not include figures for post-acute care clinics, which became part of Fresenius Vamed on June 30, 2018.

** The figures are incomplete regarding certain procedures that are not processed by Helios due to certain contractual responsibilities.

Selected patient safety indicators*

	2019	2018	2017
Wrong-site surgery	35	21	21
Foreign objects left behind	22	8	17

* Figures only refer to acute care hospitals. They do not include figures for post-acute care clinics, which became part of Fresenius Vamed on June 30, 2018.

Employees

Comments:

- These figures include the data from the post-acute care business up until June 30, 2018, when this was transferred to Fresenius Vamed.
- The number of employees is always provided as a headcount.
- Percentages typically refer to the employee population (see Table 1). Deviations are indicated.
- Potential deviations in the totals can arise from the rounding differences.

Number of employees*

	2019		2018		2017	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
Total	68,613	100.0%	66,465	100.0%	74,287	100.0%
Women	52,261	76.2%	50,521	76.0%	56,482	76.0%
Men	16,352	23.8%	15,944	24.0%	17,805	24.0%

* As of December 31 of the respective calendar year; excludes interns, medical students in their practical year, federal volunteer service/social gap year volunteers, staffing agency workers (Helios only resorts to staffing agency workers in exceptional cases to bridge unexpected staff shortages. Data on such workers is not subject to systematic data capture).

Employment contract*

	2019	2018	2017
Permanent	83.9%	83.9%	83.1%
Of whom women	77.4%	77.1%	77.2%
Of whom men	22.6%	22.9%	22.8%
Temporary**	16.1%	16.1%	16.9%
Of whom women	69.8%	70.5%	70.5%
Of whom men	30.2%	29.5%	29.5%

* As of December 31 of the respective calendar year.

** Temporary employment relationships primarily arise from short-term staff shortages and replacement situations. Specialist medical training also tends to occur as temporary employment. Our apprentices are also considered temporary employees.

Employment relationships*

	2019	2018	2017
Full time	54.0%	54.7%	54.6%
Of whom women	67.6%	67.1%	66.4%
Of whom men	32.4%	32.9%	33.6%
Part time	45.9%	44.3%	43.9%
Of whom women	86.2%	86.8%	87.5%
Of whom men	13.8%	13.2%	12.5%
Other **	0.1%	1.1%	1.6%

* As of December 31 of the respective calendar year.

** "Other" includes employees who are paid on an hourly basis, for example.

Age structure*

	2019	2018	2017
Average age in years	42.5	42.6	42.7
Under 30	19%	18%	19%
30 to 50	48%	49%	49%
Over 50	33%	33%	32%

* As of December 31 of the respective calendar year.

Apprentices and student employees*

	2019	2018	2017
Apprentices	4,389	3,859	3,711
Of whom in nursing	3,554	3,150	2,962
Medicine students in their practical year	718	749	833
Doctors in continuing education	4,447	4,410	4,610
Clinical trainees	573	724	723

* As of December 31 of the respective calendar year.

Nursing apprentices hired after graduation*

	2019	2018	2017
Hiring rate	79%	68%	66%
Participation in final exams	774	810	758
Exams passed	746	746	626
Job offered by Helios	737	665	554
Offer accepted	589	507	411

* The figures for all other apprenticeships are not yet being collected in a centralized manner.

New hires*

	2019	2018	2017**
Percentage***	15.3%****	15.9%****	19.8%
Of whom women	69.4%	67.9%	69.1%
Of whom men	30.6%	32.1%	30.9%
Of whom under 30	32.4%	31.6%	-
Of whom 30 to 50	53.1%	50.6%	-
Of whom over 50	14.5%	17.8%	-

* All new employees joining Helios in a newly created position or to replace someone.

** Figures for 2017 are missing as detailed data collection was only started in 2018.

*** Calculated as the number of new employees in relation to the number of employees at the end of the year.

**** Analogous to the Fresenius NFR including new employees at Helios Health: 15.4% for 2019 and 16.0% for 2018.

Employee resignations*

	2019	2018	2017
Percentage**	9.1%**	6.9%	6.0%
Of whom women	71.5%	71.0%	72.0%
Of whom men	28.5%	29.0%	28.0%
Of whom under 30	26.2%	29.1%	30.7%
Of whom 30 to 50	57.1%	56.4%	53.9%
Of whom over 50	16.7%	14.6%	15.4%

* Calculated as the number of employees who voluntarily left the company in relation to the number of employees at the end of the year.

** From 2019 termination agreements initiated by the employee (i.e., termination contracts without compensations) are included in the employee resignations.

Average period of employment*

	2019	2018	2017
Average period of employment in years	10.6	10.8	10.5

* As of December 31 of the respective calendar year.

Parental leave rates

	2019		2018		2017	
	NUMBER	RATE*	NUMBER	RATE*	NUMBER	RATE*
Total	4,060	5.9%	4,833	7.3%	3,519	4.7%
Women	3,345	6.4%	4,131	8.2%	2,956	5.2%
Men	715	4.4%	702	4.4%	563	3.2%

* As measured by 100% of employees from the respective category at the end of the year (e.g., 6.4% of female employees took parental leave during 2019).

Training and development

	2019	2018	2017
Percentage of annual turnover invested in training and development	0.43%	0.38%	0.40%

* Based on data from the hospitals.

Women in executive positions

	2019	2018	2017
Total*	30%	29%	29%
Medical Director or Chief Physician	11%	11%	11%
Senior Consultant or Chief Physician	34%	33%	33%
Nursing Director	59%	62%	65%
Executive Hospital Director	37%	34%	37%
Executive and Regional Board	14%	17%	13%
Head of Central Services	50%	52%	48%
Regional Management	35%	41%	40%

* Number of women in the listed job categories in relation to overall staff in those categories as of December 31 of the calendar year.

Executive positions by age

	UNDER 30	30 TO 50	OVER 50
Total*	0.1%	54.8%	45.2%
Medical Director or Chief Physician	0.0%	29.5%	70.5%
Senior Consultant or Chief Physician	0.0%	60.7%	39.3%
Nursing Director	0.0%	65.4%	34.6%
Executive Hospital Director	3.2%	85.5%	11.3%
Executive and Regional Board	0.0%	42.9%	57.1%
Head of Central Services	0.0%	58.3%	41.7%
Regional Management	1.6%	57.1%	41.3%

* Number of employees in the listed job categories in relation to overall staff in those categories as of December 31, 2019.

All Helios employees by job type and gender*

	TOTAL	WOMEN	MEN
Medical staff	17.3%	45.2%	54.8%
Nursing staff**	36.8%	85.3%	14.7%
Medical lab staff**	13.5%	89.6%	10.4%
Functional service staff**	13.2%	83.3%	16.7%
Clinical house staff	1.5%	94.6%	5.4%
Technical staff**	0.4%	9.9%	90.1%
Operational and supply services staff*	9.5%	72.9%	27.1%
Administration staff**	6.7%	71.0%	29.0%
Special services staff	0.3%	55.2%	44.8%
Training center staff	0.5%	73.8%	26.2%
Other	0.2%	79.3%	20.7%

* As of December 31, 2019

** Apprentices are included with the respective work category and are not listed separately.

Environment

Comments:

- The figures include the data of the post-acute care business up until December 12, 2018, when it became part of Fresenius Vamed. To create a solid standard of comparability across the years, we are also reporting a relative figure in each field.
- Potential deviations in the totals can arise from rounding differences.

Energy consumption by source

	2019		2018		2017	
	MWh	%	MWh	%	MWh	%
Total	927,795.2	100.0	1,138,577.3	100.0	1,166,741.6	100.0
External procurement	775,139.1	83.5	966,982.1	84.9	946,866.3	81.2
In-house energy generation	152,656.0	16.5	171,595.2	15.1	219,875.3	18.8
Non-renewable	758,446.5	97.8	943,906.2	97.6	914,992.0	96.6
a) Natural gas	407,602.8	53.7	538,177.1	57.0	499,147.2	54.6
b) Fuel oil	4,502.4	0.6	0.0	0.0	0.0	0.0
c) Electricity	235,856.5	31.1	272,104.7	28.8	275,405.7	30.0
d) District warmth	110,484.8	14.6	133,624.4	14.2	140,439.1	15.3
Renewable	16,692.7	2.2	23,075.8	2.4	31,874.3	3.4
e) Pellets	16,692.7	100.0	23,075.8	100.0	31,874.3	100.0

Relative energy import in kWh

	2019	2018	2017
Energy consumption/hospital bed	26,761.2	32,905.1	27,366.1
Energy consumption/square meter	248.4	256.3	263.0
Energy consumption/€1 million turnover	130,494.8	153,598.3	155,888.4
Energy consumption/full-time employee	14,509.5	17,830.1	16,404.8

Greenhouse gas emissions by energy import*

	2019		2018		2017	
	MG CO ₂ EQUIVALENTS**	%	MG CO ₂ EQUIVALENTS**	%	MG CO ₂ EQUIVALENTS**	%
Total	202,469.4	100.0	290,024.5	100.0	275,102.1	100.0
Scope 1	84,736.2	41.9	136,089.7	46.9	126,383.8	45.9
a) Natural gas	83,265.1	98.3	135,729.0	99.7	125,885.6	99.6
b) Fuel oil	1,210.0	1.4	0.0	0.0	0.0	0.0
c) Pellets	260.9	0.3	360.7	0.3	498.2	0.4
Scope 2	117,733.4	58.2	153,934.8	53.1	148,718.3	54.4
d) Electricity	98,281.4	83.5	108,324.1	70.4	100,781.5	67.8
e) District warmth	19,452.0	16.5	45,610.7	29.6	47,936.8	32.2

* Emission factors: UK Government GHG Conversion Factors for Company Reporting

** Megagrams (Mg) equal tons (t).

Relative greenhouse gas emissions in tons per unit

	2019	2018	2017
GHG emissions/€1 million in turnover	34.1	48.6	45.3
GHG emissions/full-time employee	3.8	5.6	4.8

Water withdrawal in 1,000 cubic meters

	2019		2018		2017	
	t m ³	%	t m ³	%	t m ³	%
Total	2,618.8	100.0	2,707.0	100.0	3,167.2	100.0
a) Water from public supply	2,602.5	99.4	2,684.8	99.2	3,141.8	99.2
b) Rainwater	15.3	0.1	21.0	0.8	24.5	0.8
c) Well water	1.0	< 0.1	1.3	< 0.1	0.9	< 0.1

Relative water consumption in cubic meters per unit

	2019	2018	2017
Water consumption/€1 million in turnover	440.9	453.4	521.4
Water consumption/full-time employee	49.0	52.6	54.9

Waste

	2019		2018		2017	
	TONS	%	TONS	%	TONS	%
Total	20,489.9	100.0	20,778.1	100.0	22,169.0	100.0
Hazardous waste	293.1	1.4	253.2	1.2	556.0	2.5
a) Infectious waste	248.0	84.6	215.1	85.0	200.7	36.1
b) Chemicals containing hazardous substances	9.2	3.1	2.6	1.0	3.2	0.6
c) Cytotoxic and cytostatic pharmaceuticals	35.9	12.3	35.5	14.0	352.1	63.3
d) Amalgam waste from dental care	0.0	0.0	0.0	0.0	0.0	0.0
Non-hazardous waste	20,196.8	98.6	20,524.9	98.8	21,613.0	97.5
e) Pointed or sharp objects (except a)	35.1	0.2	43.0	0.2	30.7	0.1
f) Body parts and organs (except a)	180.5	0.9	168.2	0.8	152.0	0.7
g) Hospital-specific waste whose collection and disposal is uncritical from an infection prevention point of view (e.g., wound dressings and casts, laundry, disposable medical apparel, diapers)	17,008.0	84.2	16,948.3	82.6	16,586.6	76.7
h) Chemicals except those under b)	0.8	< 0.1	5.4	< 0.1	5.9	< 0.1
i) Pharmaceuticals except those under c)	1.7	< 0.1	1.8	< 0.1	1.5	< 0.1
j) Household-like commercial waste	3,140.7	15.6	3,358.2	16.4	4,836.3	22.4

Relative waste in kg per unit

	2019	2018	2017
Waste/€1 million in turnover	3,449.5	3,480.4	3,649.8
Waste/full-time employee	383.5	404.0	384.1

About this report

Report profile

With this publication for the reporting year 2019, Helios is publishing its own sustainability report for the first time. The report covers and complements the content of the non-financial reporting of our parent company Fresenius SE & Co. KGaA and is intended to create transparency regarding our sustainability efforts. Our patients, employees, business partners and other interested parties are thereby given the opportunity to inform themselves about our successes, challenges and goals on our journey toward becoming a sustainable hospital operator.

The reporting period covers the 2019 business year. The editorial deadline was May 1, 2020. All contents of this report refer exclusively to Helios Germany companies. From now on we will be publishing a sustainability report every year. The next report is planned for summer 2021.

When it came to choosing sustainability topics, we found guidance in both the materiality analysis of our parent company Fresenius and the reporting standard of the Global Reporting Initiative (GRI). We determined the content of the report through internal consultations with the relative specialist departments and the Management Board, as well as through a joint workshop.

Editor's note

This report uses gender-neutral language as much as possible. For ease of readability, we have used only the masculine form in some places, and this is meant to imply both genders.

The report is available for download at www.helios-gesundheit.de/nachhaltigkeit. A small stock of print copies has also been published.

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