



20 20 Environmental, Social, and Governance Report

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A Message from our CEO



I am proud to share our inaugural Environmental, Social, and Governance (ESG) Report. We believe that operating with integrity and conducting our business in a socially and environmentally responsible manner is critical to our long-term success. In the following pages you'll learn more about the progress we've made in formalizing our ESG strategy, including conducting our first materiality assessment and creating an executive ESG Steering committee, to guide our efforts going forward.

Our mission of improving lives one person at a time is grounded in enhancing the health and wellness of people and communities across the globe. We have aligned our commitments with the United Nations Sustainable Development Goals ("SDGs"), in particular with three SDGs that most closely connect with our business: #3 Good Health and Well-being, #12 Responsible Consumption and Production, and #17 Partnerships.

This report also details our commitment to bringing health and vision care to more people around the world through ethical business practices and innovative, high-quality products. It spells out how we foster an inclusive workplace, reduce our environmental impacts, and strategically invest in programs that benefit our employees, society, and the planet.

Looking back at the past year, I am proud of our response to the pandemic and impressed with the significant accomplishments of our team during this

difficult time. We implemented health and safety programs for our workforce, provided full pay and benefits to 100% of employees even when our plants were temporarily shut down, and had zero involuntary reductions due to COVID-19. At the same time, we launched new products, strengthened operations with new manufacturing lines, established a leadership position in myopia management, and scaled up new channels of distribution quickly.

A brief sampling of other recent accomplishments includes:

- **Introducing clariti® 1 day** as the first net plastic neutral contact lens in the U.S.
- **Achieving LEED® Silver certification** of our global manufacturing facility in Puerto Rico
- **Sourcing 100% renewable electricity** in all key facilities in New York and the United Kingdom
- **Establishing a Global Inclusion Council** comprised of senior leaders to advance our culture of diversity and inclusion
- **Achieving Certification as a Great Place to Work in the U.S.** (for the third consecutive year) and recognition as one of the Top 10 Best Large Workplaces in Manufacturing and Production in the U.S.
- **Signing the CEO Action for Diversity & Inclusion™ Pledge**

- **Launching MiSight® 1 day contact lens in the U.S.**, following groundbreaking approval by the U.S. Food and Drug Administration
- **Expanding our Biofinity brand offering to include Biofinity® toric multifocal contact lenses** globally to support patients for whom contact lens wear was previously a challenge
- **Acquiring Embryo Options**, an established leader in cryo-storage software solutions for clinics and patients
- **Upgrading RI Witness™ Assisted Reproductive Technology (ART) Management System**, an electronic quality control solution that helps safeguard every step of the IVF cycle
- Updating our **Code of Conduct**

As our business has grown and evolved over the past 60-plus years, our commitment to responsible business practices has deepened. There is much to be proud of and we are committed to accomplishing more. We plan to strengthen and expand ESG commitments and look forward to continuing to report on how Cooper supports a healthy and sustainable world.

ALBERT G. WHITE III,
President and Chief Executive Officer

Our Story

Improving lives, one person at a time

Often healthcare can be reactive and routine, but good healthcare is more than the absence of illness. Today, people are looking for options to support how they want to live at every stage of life. And in areas where choices are available, they want to partner with their healthcare provider so they can make well-informed decisions.

CooperCompanies stands apart as a global consumer medical device company that elevates standards of care. Our two business units have earned the trust of doctors and clinicians worldwide by delivering practice-building resources and training.

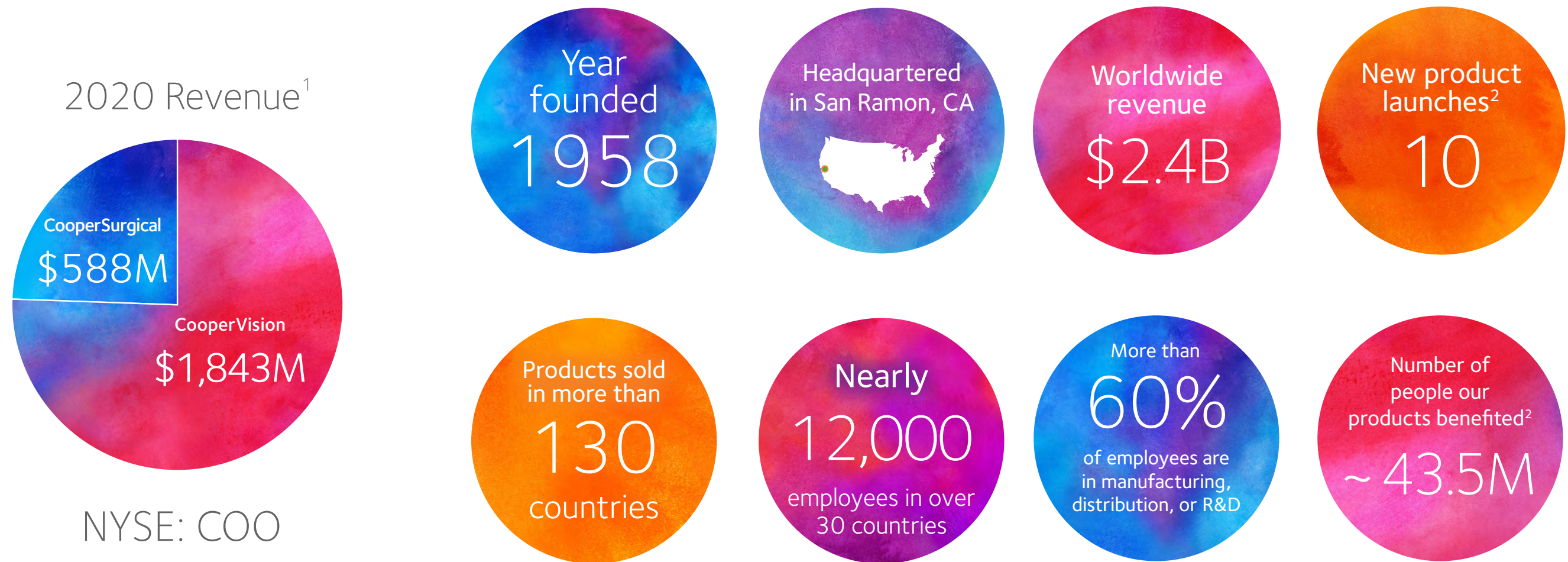
CooperVision (CVI) is one of the world's leading manufacturers of soft contact lenses, providing a full array of daily disposable, two-week, and monthly soft contact lenses that feature advanced materials and optics. CVI has a strong heritage of solving the toughest vision challenges and is advancing the range of what contact lenses can do,

such as its groundbreaking introduction of contact lenses proven to slow the progression of myopia in children age 8-12. CooperVision Specialty EyeCare develops, manufactures, and provides access to a portfolio of industry leading soft custom and rigid gas permeable lens designs, including orthokeratology and scleral lenses to address myopia, irregular cornea, and presbyopia management.

CooperSurgical (CSI) advances the care of women, babies, and families around the world. The organization provides a wide range of products, technologies, and services with an emphasis on fertility solutions and preventative and therapeutic women's healthcare. For more than 30 years, CSI has earned the trust of patients and healthcare providers by partnering on improved outcomes.



CooperCompanies at a Glance



¹ Revenues are for fiscal year ending October 31, 2020

² In calendar year 2020

Key ESG Highlights



2020 U.S. AWARDS

Certification as a **Great Place to Work** (for the third consecutive year)

Fortune's Top **10 Best Large Workplaces** in Manufacturing and Production

Code of Conduct

updated in 2021

50%

board gender diversity as of July 2021

5

facilities LEED® or BREEAM® certified

FIRST

net plastic neutral contact lens

100%

renewable electricity sourcing at all key facilities in New York and the United Kingdom

60%

of new hires, VP and up, were women³

\$1.3M

raised for Optometry Giving Sight, providing eye exams for more than 250,000 people⁴

85%

of surveyed employees are satisfied with their job

³ October 2019 - May 2020

⁴ Cumulative since 2011

Global Operations

- **R&D sites:** U.K.; U.S. (California); U.S. (Connecticut)

- **CooperSurgical Centers of Excellence:** China; Denmark; India; Japan; Russia; U.K.; U.S. (New Jersey)

- **Manufacturing & Distribution:** Australia; Belgium; Brazil; Canada; Chile; Costa Rica (CVI LEED® certified); Denmark; Hungary; Israel; Japan; Mexico; Netherlands; Puerto Rico (LEED® certified); Spain (LEED® certified); South Africa; Taiwan; U.K. (BREEAM® certified); U.S.



Responding to COVID-19

We care for our employees, customers, and communities.

Our Company values help guide our responses to the COVID-19 crisis and our priority throughout the pandemic continues to be the safety and care of our employees. We moved quickly to connect with and help protect our employees, provide products to global consumers and medical providers without interruption, and looked for opportunities across our businesses to help where we could, while finding inventive and new ways to run our businesses. Our response included:

- **100% of employees received full pay** and benefits even when plants temporarily closed;
- **0 involuntary reductions** due to COVID-19;
- **Additional paid time off** was provided to address personal situations as appropriate and where possible;
- **Enhanced safety measures** for those working onsite, including increased sanitation, physical distancing, and contact tracing;
- **Shifting employees to remote work** wherever possible;
- **Training and support** for our managers and employees on how to work and thrive in a virtual working environment;
- **570 optometry practices** received complimentary lenses to distribute to essential hospital workers;
- **Interactive, digital training programs** developed for eye care, medical, fertility, and genomics professionals, reproductive endocrinologists, and embryologists;
- **Extended payment terms** to many customers;
- **Consistent supply** of products; and
- **20,000 disposable masks**, sanitization kits, and PPE donated.

While the pandemic has been incredibly challenging for all of us, we are proud of how we came together as an organization to care for each other, our communities, and people across the world. [For more information on how we supported each other and our communities visit our website.](#)



Governance, Ethics, and Compliance



IN THIS SECTION:

Our Approach to ESG

Corporate Governance

Ethical Business Practices

Information Security and Data Privacy

Where We're Going Next

We consider our social and environmental responsibility throughout our Company and supply chain. We operate with integrity, learning and improving as we go.

OUR APPROACH TO ENVIRONMENTAL, SOCIAL, AND GOVERNANCE (ESG) TOPICS

We believe that conducting our business in a socially and environmentally responsible manner is important to our long-term success and the future of our planet. It allows us to manage potential risks to our Company and to identify opportunities that will help drive our long-term strategic plan.

Materiality Assessment

In 2021, to help inform our approach to ESG, we conducted a formal materiality assessment to identify critical ESG priorities, opportunities, risks, and trends affecting our stakeholders, our businesses, and our industry over the coming years. For the purposes of this report, we use the Global Reporting Initiative (GRI)'s definition of "material" topics to reflect Cooper's significant

economic, environmental, and social impacts or areas that substantively influence the assessments and decisions of stakeholders.

As part of this assessment, we researched more than 300 ESG topics of potential relevance to Cooper. We then prioritized these topics by evaluating: ESG reporting frameworks, including the Sustainability Accounting Standards Board (SASB), the GRI, and the World Economic Forum's Stakeholder Capitalism Metrics; risk factors listed in our 10-K; ESG rating organizations' focus areas for the medical device industry, including MSCI, ISS, and Sustainalytics; and topics determined to be material by our peers. We weighted the scoring based on recent investor feedback, giving highest weighting to topics within the SASB Materiality Map for the medical equipment and supplies industry. This analysis pared the list down to 38 ESG topics.

We then conducted a highly quantitative assessment with more than 100 internal and external stakeholders including customers, partners, investors, executives, and members of our Board of Directors, coupled with qualitative input, to assess the relative importance of these 38 ESG topics. Finally, we constructed our Materiality Matrix by mapping topics by importance to our stakeholders and level of business impact.

Through this process, we identified nine **high-priority ESG topics**, which inform our ESG approach, guide our ESG disclosure strategy, and which are discussed in more detail in this report. This report is our first account of our performance on ESG issues. We plan to produce an ESG data snapshot in 2022, while we work towards producing annual ESG reports beginning in 2023.



★ Priority topic

Contributing to the United Nations Sustainable Development Goals

As a global consumer medical device company, we recognize the powerful role we can play in contributing to the achievement of the United Nations Sustainable Development Goals (SDGs), a collection of 17 interconnected global goals that promote a better and more sustainable future for all. The SDGs provide a framework for Cooper's ESG strategy, help guide our priorities, and provide an opportunity to demonstrate how our products and purpose link directly to broader societal aspirations.

Our current efforts focus on three SDGs, #3 Good Health and Well-being, #12 Responsible Consumption and Production, and #17 Partnership for the Goals, which we believe to be most relevant to our organization and where we can contribute in the most meaningful way. We plan to conduct further analysis of our ESG commitments to help determine where we can do more to support the SDGs.

Read more in [Our Products](#) and [Our Planet](#).

ESG Framework



PEOPLE

- Develop life-changing solutions to address health challenges, with continuous focus on product quality and patient safety
- Foster an inclusive, healthy, safe, and engaged workforce



PLANET

- Sustainably manage and reduce the environmental impacts of our operations
- Integrate sustainable design innovations into our products and packaging



PARTNERSHIP

- Collaborate with customers, suppliers, and communities to accelerate social and environmental improvements
- Foster partnerships with charitable and other organizations to address unmet healthcare needs

Responsible Business Practices:

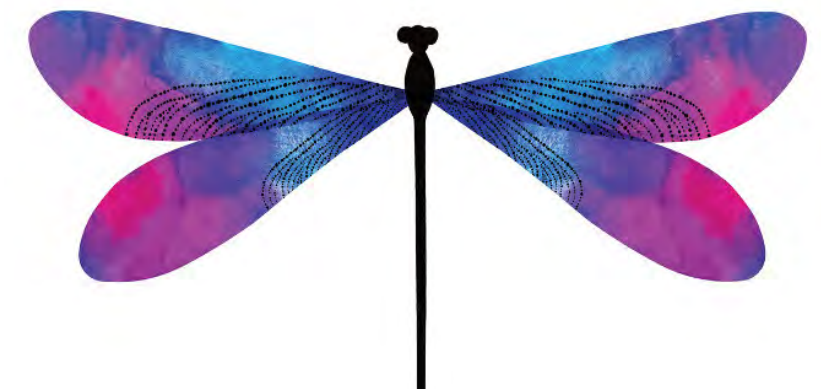
- High standards of ethics, compliance, and accountability in all that we do
- Continued investment in the ESG infrastructure, systems, and capabilities of the organization

Stakeholder Engagement

Within each of our ESG areas, Cooper engages with various stakeholders including investors, customers, representatives from government, regulators, civil society, patient advocacy groups, employees, academia, suppliers, and industry groups through one-on-one discussions, conferences, working groups, consortiums, and digital communications. In 2020, we responded to stakeholder feedback by enhancing transparency on ESG matters through our public disclosures and initiating ESG Action Plans to further improve our performance.

[Read about how Cooper achieves more through Partnerships.](#)

| STAKEHOLDERS | PRIORITY TOPICS IN 2020 |
|--|--|
| Customers | <ul style="list-style-type: none">• Product quality and safety• Frictionless customer experience• Consistent supply of product |
| Employees | <ul style="list-style-type: none">• Health and safety, and support during COVID-19• Diversity and inclusion• Training, development, and career opportunities |
| Investors | <ul style="list-style-type: none">• ESG oversight• ESG data |
| Society (government, regulators, local communities, nonprofits, suppliers, and business partners) | <ul style="list-style-type: none">• Increased patient access across local communities• Collaborating with partners and suppliers• Supporting our associations (through advocacy) |



ESG Oversight

Per its charter, the Corporate Governance and Nominating Committee of the Cooper Board of Directors monitors and oversees the Company's ESG strategy, practices, and initiatives. The Company provides the Committee with periodic ESG updates and reports to the full Board on ESG issues multiple times per year. The Organization and Compensation Committee oversees the company's Human Capital Management, including diversity and inclusion.

Our Vice President of Corporate Marketing, Communications & ESG leads our ESG initiatives. To integrate ESG throughout our operations, we established a cross-functional ESG Project Team in 2020. The team is led by our Senior Director of Corporate Responsibility and meets frequently to review ESG initiatives. Members are responsible for leading ESG Actions Plans within their functional areas, as well as for identifying emerging ESG issues and raising them to the team for discussion and analysis. We also have an ESG Executive Steering Committee on which our Vice President of Global Marketing, Communications & ESG serves as the executive sponsor.

ESG Structure

Executive Steering Committee

| | |
|---|---|
| Chief Executive Officer | VP of Global Marketing, Communications & ESG* |
| Chief Financial Officer | Chief Operating Officer & President of CooperVision |
| General Counsel and Corporate Secretary | President of CooperSurgical |
| VP of Global Human Resources | |

ESG Team

Senior Director of Corporate Responsibility
ESG Project Manager

ESG Cross-Functional Project Team

| | |
|-----------------|-------------------|
| Human Resources | Legal |
| Manufacturing | Regulatory |
| Distribution | Quality Assurance |
| Supply Chain | Commercial |

* Executive Sponsor of ESG Team



ESG is not a stand-alone function at Cooper. It is an integral component and part of the fabric of how we operate, and we are increasing our focus on how we measure and manage ESG initiatives because we know it is essential to our long-term growth and sustainability.”



LISA FAWCETT

Vice President,
Corporate Marketing,
Communications, and ESG

CORPORATE GOVERNANCE

Strong governance practices provide long-term value for our shareholders, customers, employees, and communities. Our Board of Directors has adopted corporate governance principles that serve as a framework for the governance of the Company. The principles are available on our [website](#).

Cooper's Board Of Directors

When our newest Director officially joins the Board in July 2021, the Cooper Board of Directors will consist of eight Directors, six of whom are independent based on NASDAQ rules for Director independence. We maintain separate positions for the Chairman and Chief Executive Officer and maintain an independent Lead Director position.

The Board has three committees: Corporate Governance and Nominating Committee, Audit Committee, and Organization and Compensation Committee, each consisting solely of independent Directors. We strive to maintain a healthy blend of Director tenure, recognizing that longer-serving Directors possess crucial institutional knowledge of our Company and its

culture, while periodic refreshment brings a new outlook and contributes to Board independence and oversight. Starting July 2021, the average tenure of our Directors is 7.75 years.

We prioritize Board diversity and are mindful of the many ways the Board benefits from a wide range of viewpoints, perspectives, and backgrounds. As of July 2021 when our new Director officially joins the Board, we will have one Board member who identifies as racially/ethnically diverse and four female Directors out of eight. We are especially proud to reach gender parity on our Board in 2021. For detailed information about our Board's unique set of experiences and qualifications, as well as Committee Charters visit our [website](#).

Risk Management

Senior management, with Board oversight, maintains responsibility for creating an appropriate culture of risk at Cooper. Our Global Risk Committee (GRC), comprised of senior-level management, is responsible for the identification of key and emerging risks at the enterprise level along with regular reviews of risk mitigation plans. The GRC meets quarterly and provides an

annual report to that Audit Committee of our Board of Directors on the state of our Enterprise Risk Management activities.

The Board takes an active role in understanding Cooper's risk profile and assisting senior management with addressing specific risks. The Board also reviews and, where appropriate, approves major changes of the Company's Code of Conduct, Corporate Governance Principles, and other Company policies. For more information on the role of the Board, please see our [10-K](#).

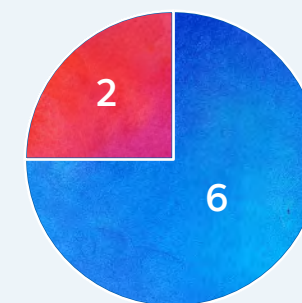
Executive Compensation

Our executive compensation program is designed to retain and incentivize a talented, motivated, and focused executive team by providing compensation that is competitive within our market. We believe that our executive compensation program provides an appropriate balance between salary and "at-risk" forms of incentive compensation.

[Read more in our most recent Proxy Statement.](#)

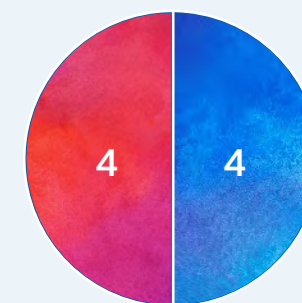
Board Statistics⁵

Board Independence



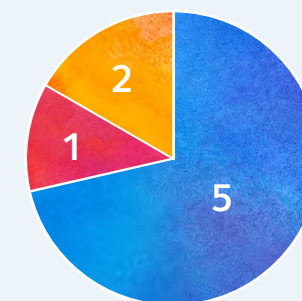
■ Non-independent Director
■ Independent Director

Gender Diversity



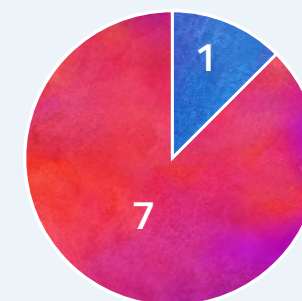
■ Men
■ Women

Director Tenure



■ 0-5 years
■ 6-10 years
■ 10+ years

Racial / Ethnic Diversity



■ Non-minority ethnic groups
■ Minority ethnic groups

⁵ As of July 1, 2021

ETHICAL BUSINESS PRACTICES

We uphold high standards of ethics in our relationships with customers, employees, suppliers, investors, and the public. One of our ESG Action Plans for 2021 was to complete a full update and refresh of our Code of Conduct. This project included reviewing and updating our conduct expectations for topics in the Code, adding new topics that are relevant to our global operations, and improving its readability.

Our Code applies globally to our employees, officers, and Directors. It is available in multiple languages and we provide the Code to new employees on their date of hire and annually thereafter. We provide ethics training and education globally targeted to employee roles and functions and require that employees annually certify their agreement and abide by the Code. Topics include, but are not limited to, conflicts of interest; health and safety; diversity and inclusion; interactions with customers, suppliers, competitors, and third-parties; anti-corruption; government relations; and compliance with laws and regulations, including those relating to insider trading, equal employment opportunity, harassment, and privacy of information.

Employees are encouraged and expected to report suspected violations of the Code to their manager or to a representative from our Legal Compliance or Human Resources departments and we maintain a strict non-retaliation policy. Employees can also report suspected violations anonymously through our third-party managed compliance hotline.

We have also developed a comprehensive compliance program relating to the marketing and promotion of our products to, and interactions with, healthcare professionals that is aligned with [The Code of Ethics on Interactions with Health Care Professionals](#) published by the Advanced Medical Technology Association. We do not currently make corporate political contributions.

[Read more about how we evaluate and select suppliers in Supply Chain Management.](#)

TRACE INTERNATIONAL

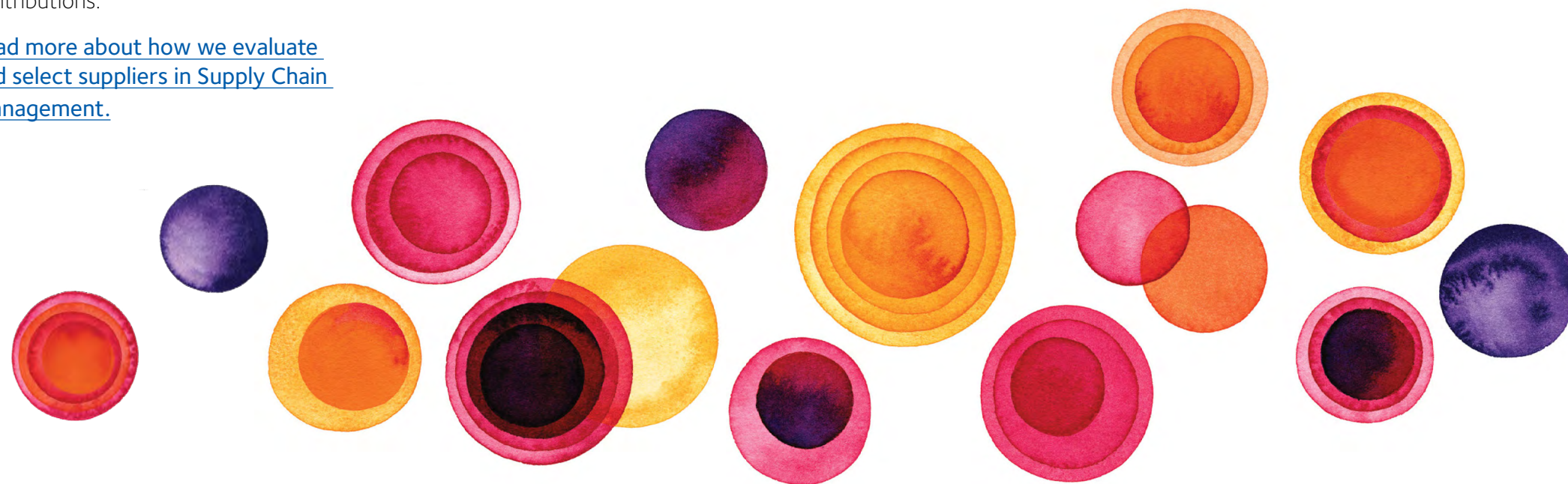
Since 2013, CooperCompanies has been a member of [TRACE International Inc.](#), an anti-bribery industry association that helps global companies conduct business ethically and in compliance with anti-bribery regulations.



HC-MS-510a.1
HC-MS-270a.1

\$0

Monetary losses as a result of legal proceedings associated with bribery and corruption or false marketing claims in 2019 and 2020.



INFORMATION SECURITY AND DATA PRIVACY

We are on a continual journey to transform our information systems and business processes to improve the overall customer experience and further enable operational excellence across the enterprise. In addition to upgrading our core business applications, we support and continue to invest in a technology foundation that is reliable, scalable, and secure.

Governance

The Information Services (IS) teams are responsible for ensuring technology investments are aligned with our strategic and cross-functional business objectives. In addition, these dedicated teams are responsible for developing and enforcing the policies, standards, and procedures related to the security and protection of Cooper's technology assets and data. We have a Chief Information Officer for CVI and a Senior Vice President of Information Technology for CSI who reports to the CSI Chief Operating Officer, as well as a senior cross-functional steering committee to inform, oversee, and prioritize strategic programs.

The Audit Committee of our Board of Directors has oversight of information security and data privacy risk. The Audit Committee, which includes 100% independent Directors, receives quarterly security updates and a detailed presentation annually.

We use an annual portfolio and demand management process to identify and prioritize technology investments and our multi-disciplinary intake process helps ensure new projects and proposed changes meet our architecture, security, and data privacy requirements prior to project initiation. Data protection impact assessments are conducted for high-risk data processing activities to identify and minimize risks and our comprehensive systems development lifecycle supports software validation requirements. As part of the acquisition due diligence

process, newly acquired entities complete an information security and data privacy questionnaire, and our IS teams review existing policies and systems.

We also have policies that define our obligations and guidelines for acceptable use of technology assets, social media, data protection, data classification, records retention, data breach notification and reporting, information security, and incident response. For more information on our governance approach, please visit [our website](#).

Information Security

Our risk management system adopts the Center for Internet Security (CIS) Controls framework in conjunction with the broader National Institute of Standards and Technology (NIST) Privacy Controls framework, which both map to ISO27001, to document our security and data privacy controls and identify gaps that require remediation.



We map our controls against this framework and assess, rate, map, and manage our initiatives according to progressive risks. Our initiatives and related investments are informed by vulnerability assessments and testing, external penetration testing, and external advisories on known threats. We also work with third-party cybersecurity experts to guide our defense response to threats and maintain cyber liability insurance.

Data Privacy and Protection

We have established data privacy processes and controls for our systems that contain personal and sensitive data. We also conduct vendor assessments to review third-party applications and technologies that contain personal and sensitive data. We monitor technical and organizational measures to safeguard the data through appropriate user access management, lawfulness of processing, secure file transfers, and consent management. Lastly, we recognize that personal and sensitive data can be created and shared in unstructured file systems where no formal documentation exists. To address this risk, we have invested in technologies that can scan, report, and restrict access to files that otherwise would represent a risk.

Training and Education

Cooper employees who are digitally wired are required to participate in an annual cybersecurity training, which includes topics such as the General Data Protection Regulation (GDPR), the safe handling of sensitive personally identifiable information, and protected health information data. We also provide educational security bulletins and simulated phishing campaigns.

Business Continuity

The final element of our approach includes recovery processes and procedures to timely restore systems or assets in the event of a cybersecurity incident. In addition to routine encrypted backups stored in the cloud, we have had a disaster recovery capability in place for several years and have continued to improve our documentation along with our expected recovery time for critical systems.



WHERE WE'RE GOING NEXT

Corporate Governance: During fiscal year 2021, Teresa Madden and Dr. Maria Rivas were elected to our Board of Directors. Moving forward, the Board will continue to seek to increase its representation of Directors with diverse perspectives and backgrounds.

ESG Oversight: Members of our ESG Project Team are working within their functions to implement ESG Action Plans and to identify and recommend areas for additional disclosure in future reports and on our website. Cooper will continue to engage with stakeholders to inform our ESG approach moving forward. We will also continue to raise awareness of our material ESG issues and approach with our employees and executives.

Ethical Business Practices: In 2021, we will roll out additional employee training on our Code of Conduct throughout our business units. We also plan to expand the functionality of our existing anonymous whistleblower hotline to enable and encourage employees to report any type of grievance.

Information Security and Data Privacy: Though CIS Controls are more prescriptive than ISO27001 certification, no certification or external audits for CIS are currently available. As such, we have recently begun developing a roadmap to achieve ISO27001 certification in the future.

[Read more on how we are moving forward in key ESG areas in each of the following sections of this report.](#)



IN THIS SECTION:

Our Culture

Diversity and Inclusion

Health, Safety, and Well-being

Training, Development, and Engagement

Where We're Going Next

For details on our Code of Conduct, which is consistent with applicable labor laws and includes our commitment to maintaining safe and fair work conditions, read more in the [Ethics section](#)

Our People

We are ONECOOPER.

A PURPOSE-DRIVEN, DYNAMIC TEAM

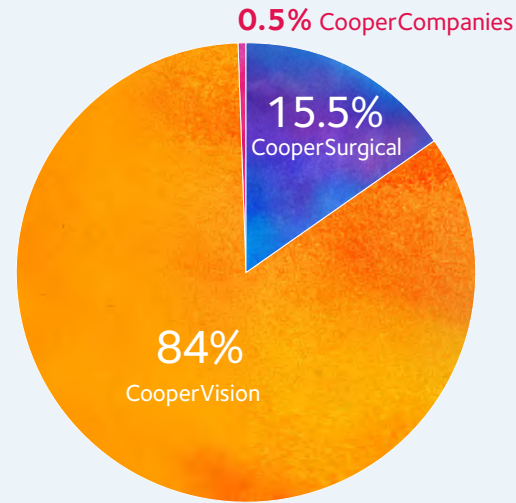
Our goal to improve lives starts with our employees. Our approximately 12,000 employees come from diverse backgrounds, perspectives, and regions. Working at Cooper means being part of a purpose-driven, dynamic team that cares about making the world a better place.

What unites us as OneCooper across the business units is a collective drive to:

- Offer products and services that positively impact people's lives
- Collaborate with trusted healthcare professionals to elevate the standard of care
- Leverage strong global macro-trends that fuel long-term growth
- Uphold sustainable and conscientious business practices

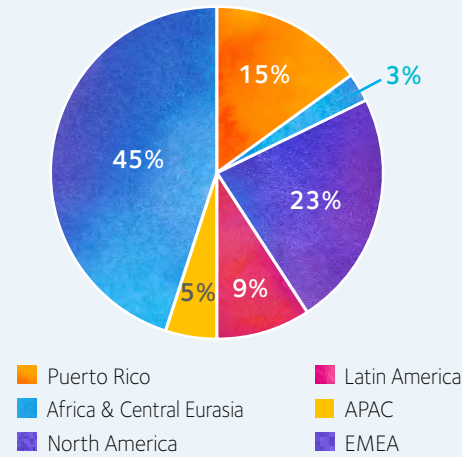


GLOBAL EMPLOYEES: ~12,000⁶

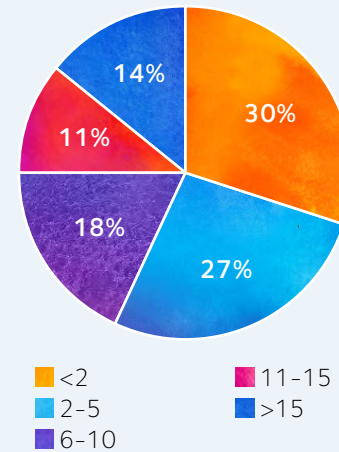


⁶ As of December 31, 2020
⁷ As of May 2020

BY REGION⁷



BY TENURE⁵



Our employees are a key differentiator in our overall strategy. We invest in our workforce to meet current and future business objectives, always driving towards our goal of being a global employer of choice. Our cross-functional human capital management (HCM) strategy underpins our efforts to attract, grow and develop, retain, compensate, manage, and engage our employees. This people-focused approach is supported by an HCM information system, MyCooper, which is embedded into our human resources enterprise system and implemented across Cooper business units.



In 2020, for the third consecutive year, Cooper was designated as a Great Place To Work Certified™ organization in the U.S. based on a detailed evaluation of workplace culture and the employee experience. U.S. employees rated the Company high on several cultural attributes, including:



I am proud to tell others I work here



When you join the company, you are made to feel welcome

In late 2020, Cooper, was also named one of Fortune's Best Large Workplaces in Manufacturing and Production in the U.S.



We are proud to be known as a place where employees trust the people they work with and have pride in what they do. Our culture is rooted in listening to and learning from each other. That's what guides us so that employees feel accepted, appreciated, and able to achieve their full potential."



ALBERT G. WHITE III
 President and Chief Executive Officer of CooperCompanies



DIVERSITY AND INCLUSION

We know that an inclusive work environment that truly appreciates the diversity of employees’ talents, experiences, and ideas leads to more innovation and progress. Our commitment to Diversity and Inclusion (D&I) starts at the top. Our VP of Global Human Resources and VP of Corporate Marketing, Communications & ESG share leadership accountability for our D&I strategy and programs. They report directly to our CEO and have frequent contact with our business units. Per its charter, the Organization and Compensation Committee of our Board of Directors provides oversight and is actively engaged in our human capital management strategy, including our D&I strategy. We also provide a large-scale update on our D&I progress with the full Board of Directors annually, with periodic updates as needed.

Our D&I strategy includes five key initiatives and in 2019 and 2020 our efforts included:

ELEVATE: Cooper’s President and CEO signed the CEO Action for Diversity & Inclusion Pledge, the world’s largest CEO-driven initiative to advance D&I within the workplace. We have pledged to promote D&I conversations, expand unconscious bias education, and share best practices and challenges. Read more [online](#).

EDUCATE: We promote ongoing D&I communication and training to inform and educate our workforce. We recently developed an D&I toolkit and continue to develop unconscious bias training materials and webinars for employees across levels and geographies. As an example, we launched a ‘leading with inclusion’ training program for Director-level and above

leaders, designed to develop capabilities in building inclusive workplaces, managing diverse teams, and serving diverse customers and business partners without unconscious bias. 100% of our Vice Presidents and above have completed this leadership training.

ADVOCATE: Forming communities of advocates and allies helps advance our culture of inclusion, and Employee Resource Groups (ERGs) are an integral component. Our ERGs help us drive change, reinforce and foster a sense of belonging, and present an opportunity for employees to gain critical skills and contribute unique insights on business objectives. Our ERGs have a variety of Executive sponsors from across Cooper’s business units and functions, which furthers integration into our business operations.



Valuing different experiences and perspectives makes us a better company and fostering a workplace that embraces every individual is an important part of our success.”



GLEN SUNNERGREN
VP of Global
Human Resources,
CooperCompanies



In 2021, we launched our North American African Descent, Women’s Impact Network, and Global LGBTQ+ ERGs. To date, our ERGs have presented at career fairs at historically black colleges and universities and hosted several informational webinars. More than 500 employees from around the world attended an African Descent event with guest speaker Dr. Soyini Hawkins, who spoke about racial and ethnic healthcare disparities. In honor of World Health Day 2021, the African Descent ERG hosted a webinar on eye health featuring award-winning optometrist Dr. Sherrol A. Reynolds, OD, FAAO, and President of the National Optometric Association. The Women’s Impact Network hosted a virtual International Women’s Day event and an endometriosis webinar in partnership with CooperSurgical. In the United Kingdom, employees from our global offices tuned in to an interview with Abi Austen called “A Conversation about Living Life as a Transgendered Woman” and to an interview with Louise Halling, called “A Conversation about Living with a Disability.”

INTEGRATE: We launched a Global Inclusion Council (GIC) comprised of seven leaders from across our business units, regions, and functions. These leaders serve as advocates and help us integrate D&I into the fabric of Cooper. Our President of CooperSurgical is the GIC executive sponsor. Our ERGs have a variety of Executive sponsors from across Cooper’s business units and functions that further integrates these groups into our business operations. We also have incorporated inclusion items into our performance reviews and engagement surveys.

EVALUATE: Ensuring we pay employees fairly and equitably is core to who we are and we released our [Commitment to Fair and Equitable Pay](#) in the U.S. in 2020. We annually complete various reviews of our programs to help ensure unconscious bias does not impact our reward decisions. For example, our 2020 base salary analysis for each of our divisions in the U.S. indicated, on average women receive base salaries on par with men in equivalent roles and ethnicity did not impact salary decisions. We had similar findings from our 2020 global stock award program gender bias analysis.



In 2020, women managers and directors in our EMEA region were invited to virtual sessions focused on high-impact, confident communications. Seventy-five women, representing multiple functions and business units, participated in the pilot program’s five interactive sessions on becoming powerful and effective communicators. In 2021, we plan to offer this program again in EMEA as well as expand it to the U.S.



D&I WORKFORCE STATISTICS

We are proud that our percentage of women managers increased or remained level between 2019 and 2020. As an example of our D&I strategy in action, women represented 60% of VP and above new hires in 2020. We also continue to promote diverse talent and in 2020, 92% of mid-level promotions and 56% of first-level promotions were received by women.

| GENDER DIVERSITY (GLOBAL) | 2020⁸ | 2019⁹ |
|-----------------------------------|-------------------------|-------------------------|
| Global Employees | 48% | unavailable |
| First Line Managers / Supervisors | 43% | 42% |
| Directors / Senior Managers | 35% | 35% |
| VPs and Above | 25% | 22% |

| RACIAL AND ETHNIC DIVERSITY (U.S.) | 2020¹⁰ | 2019¹¹ |
|---|--------------------------|--------------------------|
| White | 67% | 69% |
| Asian | 14% | 13% |
| Hispanic or Latino | 11% | 10% |
| Black or African American | 7% | 7% |
| Two or More Races | 1% | 1% |
| American Indian or Alaska Native | <1% | <1% |
| Native Hawaiian or Pacific Islander | <1% | <1% |

⁸ As of May 2020

⁹ As of July 2019

¹⁰ As of December 2019

¹¹ As of December 2018



PROMOTING EMPLOYEE HEALTH, SAFETY, AND WELL-BEING

Our culture of health, safety, and well-being helps our people and businesses thrive. We comply with applicable health and safety laws and regulations and help protect our employees through continuous improvement, education, engagement, and risk management.

CooperVision (CVI)'s and CooperSurgical (CSI)'s Environmental, Health, and Safety (EHS) Global Policies formalize our commitment to high standards of EHS performance for employees, consultants, contract workers, and temporary staff worldwide.

Our EHS program includes a Risk Assessment Program and EHS management systems among others. These systems, which are reviewed with consultation from our employees and EHS committees, help centralize EHS documentation and provide managers and employees with the tools to prevent and manage risks. EHS representatives review EHS metrics at business unit meetings to further embed safety management across the Company. Our employee handbooks specify health and safety procedures, working condition policies, and labor relations, along with other topics.

CVI works to educate, train, and motivate its people and partners to work in a healthy, safe way and to recognize dangerous conditions or hazards. CVI's high-quality EHS training programs require an extensive annual general EHS safety training that covers the Company's EHS policies and procedures, hazards employees may be exposed to on the job, and safe work practices for protecting themselves against these hazards. Additional detailed trainings on specific tasks are also provided for both employees and contractors. CVI conducts monthly EHS Talks to provide information on best practices and began offering EHS Academy courses in 2021.

We strive to reduce risks at the source and, where required, provide personal protective equipment (PPE) to employees. As an example, CVI provides hearing protection to employees working with loud machinery and conducts annual audiometric testing to monitor employees' hearing over time and promote hearing conservation.

Cooper has not experienced a work-related fatality of an employee, temporary employee, or on-site contractor in more than five years. We are also proud that CVI's Lost Time Case Rate (LTCR) saw a 22% reduction from 2019 to 2020.

CVI represents 84% of Cooper employees and, according to the Bureau of Labor Statistics, its LTCR is below the average LTCR of Ophthalmic Goods companies, which was 1.2 in 2019.

| LOST TIME CASE RATE ¹² | FY 2020 | FY 2019 |
|-----------------------------------|---------|---------|
| CooperVision LTCR | 0.85 | 1.09 |

We are also proud to report that our CVI Puerto Rico operations had zero observations in regulatory Occupational Health and Safety Administration (OSHA) and Fire Department inspections. In addition, Puerto Rico earned the Puerto Rico Manufacturer's Association President's Award for achieving a recordable injury and illness frequency rate from 50% to 74% below the average national frequency rate for its specific type of industrial operation. The Puerto Rico campus has received this recognition for eight consecutive years.



A CULTURE OF SAFETY

CVI and CSI have open reporting cultures and require any unsafe conditions or potential hazards be reported immediately. At CVI, concerns raised generate a near miss report with a respective corrective action and preventive action. In addition to an event that may have resulted in an accident, the near miss report covers substandard actions and conditions. Near misses are owned by the local business unit, then the EHS team and Site Management review the near miss report, follow up on it, and communicate results to employees, reinforcing the culture of EHS across CVI. CSI is in process of building out its EHS team and will continue to integrate additional safety processes into its current operational framework. CSI will also be transitioning EHS initiatives from site-specific to global standardized initiatives.

¹² Lost Time Case Rate = Lost time cases x 200,000 / total hours worked and does not include first aid cases or office-based employees. 200,000 hours in the formula represents the equivalent of 100 employees working 40 hours per week, 50 weeks per year, and provides the standard base for the incident rates.

In Costa Rica, CVI received the Safety Company Award (silver) for our commitment to road safety in the country.

We conduct routine inspections to assess implementation of our management systems and training programs. CVI conducts internal audits to monitor proper use of PPE and has a formal global audit program requiring EHS compliance audits at least every three years. CVI typically performs three audits per year, though COVID-19 challenged its ability to accomplish these audits in 2020. CVI also conducts monthly inspections, and as an example, at CVI's U.K. Manufacturing site completed over 60 internal health and safety inspections each month in 2020.

Employee Wellness

Wellness is an important part of who we are at Cooper. More than 40 Cooper sites around the world participate in our MyWellness program with 200+ employees volunteering their time and passions to serve as Wellness Champions globally. We offer on- and off-site fitness and wellness facilities and programs, an assortment of team-building activities, and have a robust offering of physical, social, emotional, and nutritional health resources.

TRAINING, DEVELOPMENT, AND ENGAGEMENT

At Cooper, we empower employees to succeed and grow, reward great thinking and hard work, and engage employees.

Talent Development

Across our businesses, we offer job-specific training, licenses, certifications, mentoring, rotational assignments, and other opportunities to equip employees with the tools needed to achieve long-term success. Our employee-driven approach leverages the 70 (experiential) - 20 (coaching/mentoring) - 10 (training/education) development model.

Managers work closely with employees to define and achieve career goals, identify future opportunities, and understand advancement steps. We partner with educational institutions to help structure and deliver leadership development programs throughout the organization. In 2019, 46 employees completed the two-part leadership development program, and an additional 40 employees completed one of two sessions. Our 2020 programs were put on hold due to COVID-19 but have resumed in the back half of 2021. CSI continues to offer numerous virtual leadership development programming, with sessions often at maximum capacity.



Competitive Pay and Benefits

We regularly review our pay practices to confirm there are no significant pay disparities across gender or race. We conduct an annual market position benchmark to provide consistency in career path opportunities across our global organization. We have implemented robust processes for setting individual development plans and review employees' performance and pay on an annual basis. In addition to these formal conversations, supervisors and employees are strongly encouraged to discuss job performance and goals on an informal, more frequent basis. We also offer comprehensive and continually evolving benefits to help employees balance their work lives and personal lives.



Cooper is a special place to work in that you get to see the direct impact your work has on the business. Being able to help automate and streamline processes to simplify and make our employees even more productive has made my job that much more rewarding."

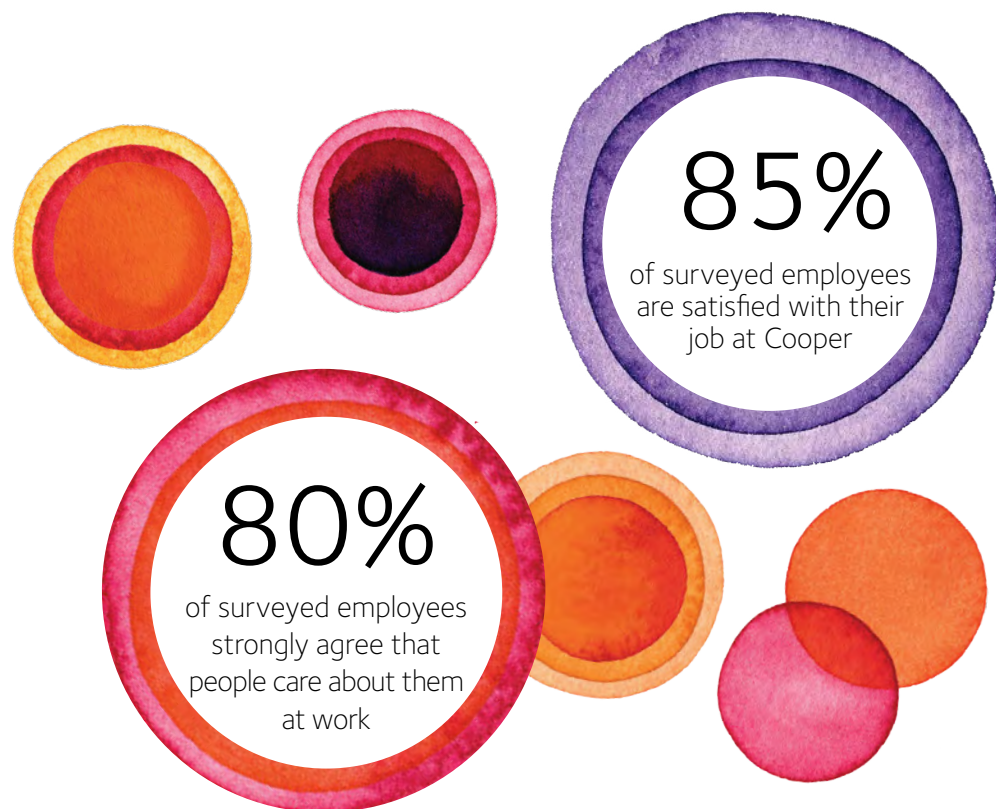


STEPHANIE KARCHER
System/Software Engineer II, CooperSurgical

RSU GRANT PROGRAM

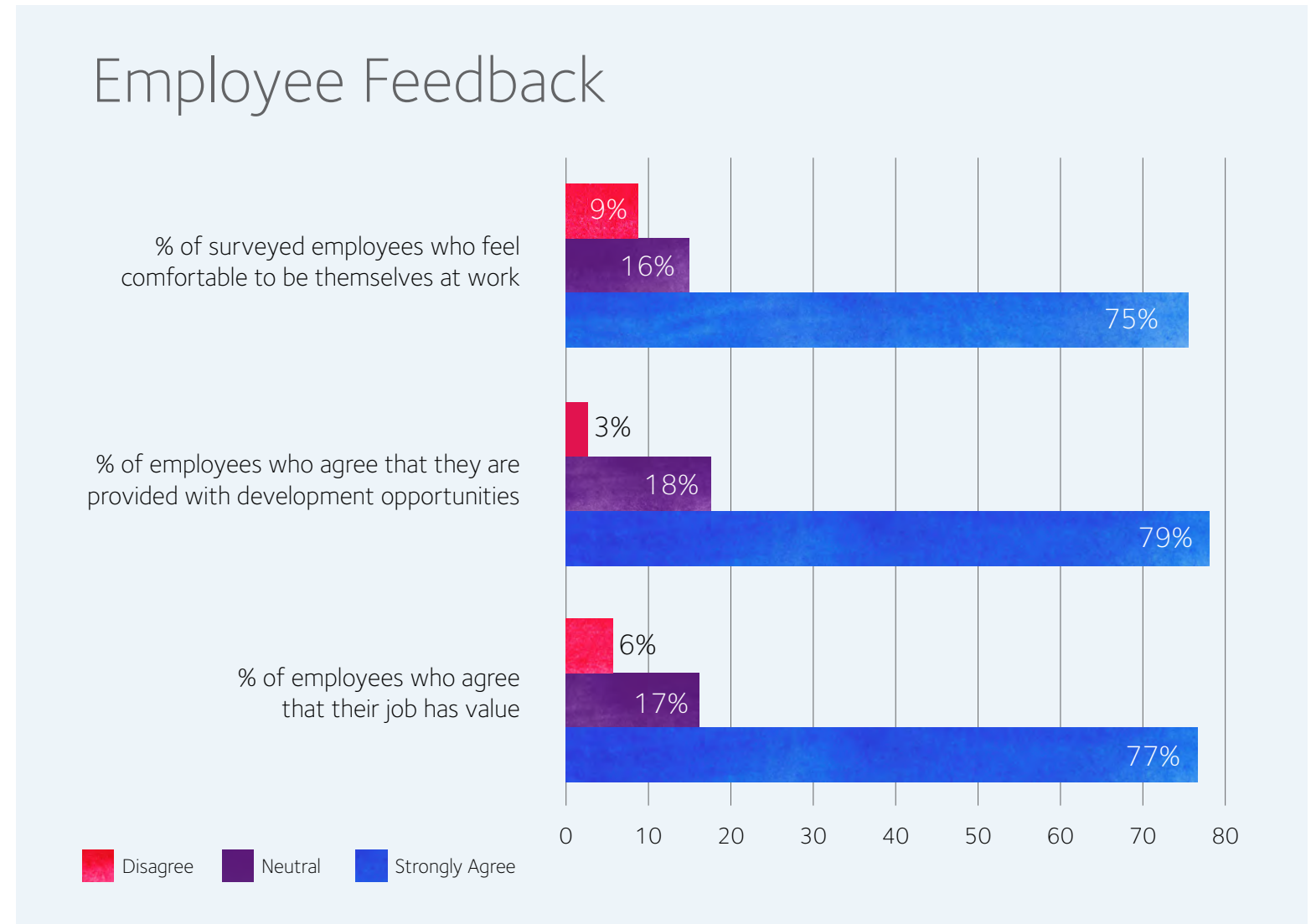
The CEO and Executive team at Cooper reward exceptional individual performance that has a significant impact on business results through selective, annual restricted stock unit (RSU) grants. The program targets employees who would not traditionally be eligible for RSUs as part of their overall compensation package. This specialized form of rewards and recognition began in 2019 and in 2020 honored 105 employees globally with \$1.6 million in grants.

Employees in the United States who work a minimum of 30 hours per week are eligible for benefits including: medical, dental, vision, life/supplemental life, accidental death, and pet insurance; paid time off; fertility assistance; short- and long-term disability; flexible spending accounts; 401(k) plans; employee stock purchase plans; an Employee Assistance Program; tuition assistance; and a comprehensive wellness program. Global employees are eligible for similar benefits as appropriate by region. U.S. employees and their immediate family members are eligible for free CooperVision contact lenses; employees globally are eligible for CooperVision contact lenses either at no cost or at a nominal fee, depending on region. [Read more online.](#)



Engagement

We conduct regular formal and informal surveys to proactively seek out employee feedback, ideas, and collect data on the employee experience. We encourage candid participation, and these insights help us develop targeted strategies to enhance our workplace and culture. Our 2020 global engagement surveys found the below results and we will again survey employees in 2021 using the Great Place To Work and/or Gallup methodology at Cooper locations.





WHERE WE'RE GOING NEXT

Diversity and Inclusion: In 2021 and beyond we plan to support and grow our ERGs, implement regional D&I action plans, broaden our workforce education efforts on a global basis, require diverse candidate slates for Director-level positions and above. We are also exploring professional associations and external groups to learn and exchange best practices.

Promoting Employee Health, Safety, and Well-being: We will continue our journey: further embedding behavioral safety at facilities globally, increasing behavioral safety studies, and continuing to improve our internal EHS management systems. We will continue to enhance our ergonomics program to better link occupational health to local needs. CSI will also be transitioning EHS initiatives from site-specific to global standardized initiatives to increase transparency and engagement. For our Wellness programs, we will continue to expand our mobile capabilities to allow for broader participation of both wired and non-wired employees.

Training, Development, and Engagement: In 2021, we will offer online goal setting and development plans, and use trend analytics to enhance recruiting efficiency. We are also tracking additional development metrics and reviewing options to further improve our leadership essentials training and executive development and coaching programs. In fiscal year 2022, we plan to implement a centralized training and development library and offer additional self-paced training options globally.



Our Products

We make products with purpose.

IN THIS SECTION:

Product Quality and Patient Safety

Supply Chain Management

Innovation and R&D

Creating Lasting Change in Eye Health

Supporting Women's Health

Where We're Going Next

PRODUCT QUALITY AND PATIENT SAFETY

Our materiality assessment found that product quality and patient safety is a high-priority ESG topic. Our high-quality, innovative products and services that support people at every stage of life also contribute to United Nations Sustainable Development Goal #3, Good Health and Well-being. We develop life-changing solutions to address both common needs and complex health challenges. In everything we do – from research and development to the manufacturing and distribution of our products – product quality, patient safety, and expanding access are our primary considerations.

Regulatory Assurance

Most of our products are medical devices subject to extensive regulation by the Food and Drug Administration (FDA) in the United States and other regulatory bodies abroad. We also maintain compliance to Therapeutic Goods Administration of Australia, Brazil's Agencia Nacional de Vigilancia Sanitaria, Health Canada, Japan's Ministry of Health, Labour, and Welfare, and the Japanese Pharmaceuticals and Medical Device Agency. We maintain compliance with existing regulations and work to stay abreast of new and evolving regulations and standards. In many countries, we participate on regulatory standards boards.

We assess the safety of our products in rigorous clinical and nonclinical trials prior to seeking regulatory approval. In addition to FDA regulatory requirements, CooperVision (CVI) maintains ISO 13485 certification and CE mark¹³ approvals for its products. CooperSurgical (CSI) maintains ISO 13485 certification for medical devices and ISO 15189 certification for its genomics laboratories. To maintain these quality benchmarks, the Company is subjected to rigorous biannual reassessment audits of the level of compliance and effectiveness of its quality management systems.

¹³ A CE mark is an international symbol of adherence to certain standards and compliance with applicable European medical device requirements.



Quality Management Process

Our products are widely tested before they are approved for commercialization. Cooper's Global Quality Policy governs our approach to the ongoing safety and efficacy of our products in aspects of their design, manufacture, and delivery based on compliance with applicable regulations and standards as well as our own internal quality controls.

We monitor and maintain compliance at every stage of a product's lifecycle by routinely auditing our research, manufacturing, and distribution sites. In addition, we assess our quality management system performance against pre-determined internal audit schedules to assess its effectiveness, help ensure the system follows established requirements, and to provide another level of due diligence.

Once a product is approved for distribution, we monitor the product and manufacturing process to support ongoing compliance and continual improvement, working closely with regulatory authorities. We also employ risk management principles to help ensure that products manufactured and delivered meet established quality attributes, customer needs, and regulatory requirements, and to mitigate risks and identify opportunities for continuous improvement. In addition, we maintain a Chemwatch chemical safety and safety data



sheet management system to determine potential health impacts of products.

Communicating Product Information

The contents of our product labeling include details on each product, contraindications, possible side effects, and, if appropriate, how to avoid potential problems. The inserts, which are also available on our website, indicate if a product or medical device is intended for one-time use or for use on a single patient during a single procedure.

We include contact details on our CVI and CSI websites for patients, caregivers, and health professionals to report adverse experiences or

product concerns. In the event of a product recall, we have extensive procedures in place to inform patients, healthcare providers, and regulatory authorities, including sending advisory notifications and providing information online.



[Recall information in response to SASB Code HC-MS-250a.1 is provided in our Index](#)

SUPPLY CHAIN MANAGEMENT

We conduct business with a wide range of suppliers globally, from suppliers of raw materials and other critical components for our products to providers of office equipment. Our

Procurement and Sourcing teams are tasked with responsible procurement, risk mitigation, and the continuity of supply to our operations globally.

Medical device and pharmaceutical regulations require thorough approval processes for new vendors, materials, and changes, and we build long-term partnerships with strategic suppliers, supported by supply agreements and performance reviews. Through change control processes, we formally assess changes that may affect product performance, quality, or safety. We work with suppliers to qualify new materials, add manufacturing capacity, improve quality and sustainability, and maintain or reduce costs.

Supplier Code Of Conduct

CVI expects suppliers to abide by the CooperVision [Supplier Code of Conduct](#). CVI's supplier code sets clear expectations for business integrity, labor practices, employee health and safety, and environmental management.

Topics include, but are not limited to, safe and healthy working conditions; our strict, no-tolerance policy against child and forced labor (anti-slavery); wages, benefits and hours; non-discrimination; freedom of association; ethics including gift policy and avoiding/declaring conflict of interests; anti-corruption; compliance with relevant customs regulations; and our strict, no-tolerance policy on the use of conflict minerals.

CVI is rolling out [Supplier Terms and Conditions](#), which set expectations requiring suppliers to maintain full compliance with the laws, rules, and regulations of their respective countries and operating locations and compliance with applicable anti-corruption laws. The terms also prohibit discrimination based on race, color, religion, sex, sexual orientation, gender identity, or national origin.

Selecting and Monitoring Suppliers



HC-MS-430a.1

We use a risk-based assessment to evaluate, verify, and select suppliers. Suppliers in countries Cooper has designated as high-risk from an FCPA (Foreign Corrupt Practices Act) perspective are run through FTI Comply, a third-party due diligence solution. FTI Comply aligns with TRACE International and evaluates risk given an automated risk matrix. Suppliers new to us through acquisition are run through the FTI Comply system in the first 100 days and we regularly review our suppliers using this tool during onboarding and renewals.

Our supplier qualification process may also include supplier questionnaires or audits of supplier facilities, which may be completed by Cooper or a third-party. High-risk suppliers with acceptable performance are audited at least once every three years and medium-risk suppliers with acceptable performance are audited at least once every five years. We also perform rigorous quality control on materials received from suppliers that go into our products. [Read more about our rigorous quality control processes.](#)

Critical Materials



HC-MS-430a.3

For each critical material within its supply chain, CVI assesses the potential risk of disruption to supply, sets inventory targets, and develops risk mitigation plans. Critical material suppliers are subject to regularly scheduled internal audits and most critical materials are, where possible, multi-sourced.

CooperCompanies seeks to understand the origin of the materials that go into our products, and is committed to compliance with conflict minerals requirements, supplier due diligence, and ongoing supply chain evaluation. We conduct a detailed conflict minerals risk analysis across our supply chain annually and select suppliers are required to complete conflict minerals reporting templates. Read more about our approach in our [Conflict Minerals report](#).

Maintaining Traceability



HC-MS-430a.3

To maintain traceability of our products within the distribution chain, we apply track and trace procedures that comply with global regulatory requirements. These track and trace procedures monitor end-to-end traceability and identification through the stages of manufacturing and distribution. We use Unique Device Identifiers (UDIs) on required medical device packaging. UDIs incorporate human- and machine-readable identification that provides product tracing.

POLICIES AND STATEMENTS

[California Transparency in Supply Chains Act of 2010](#)

[The Modern Slavery Act 2015 United Kingdom Statement](#)

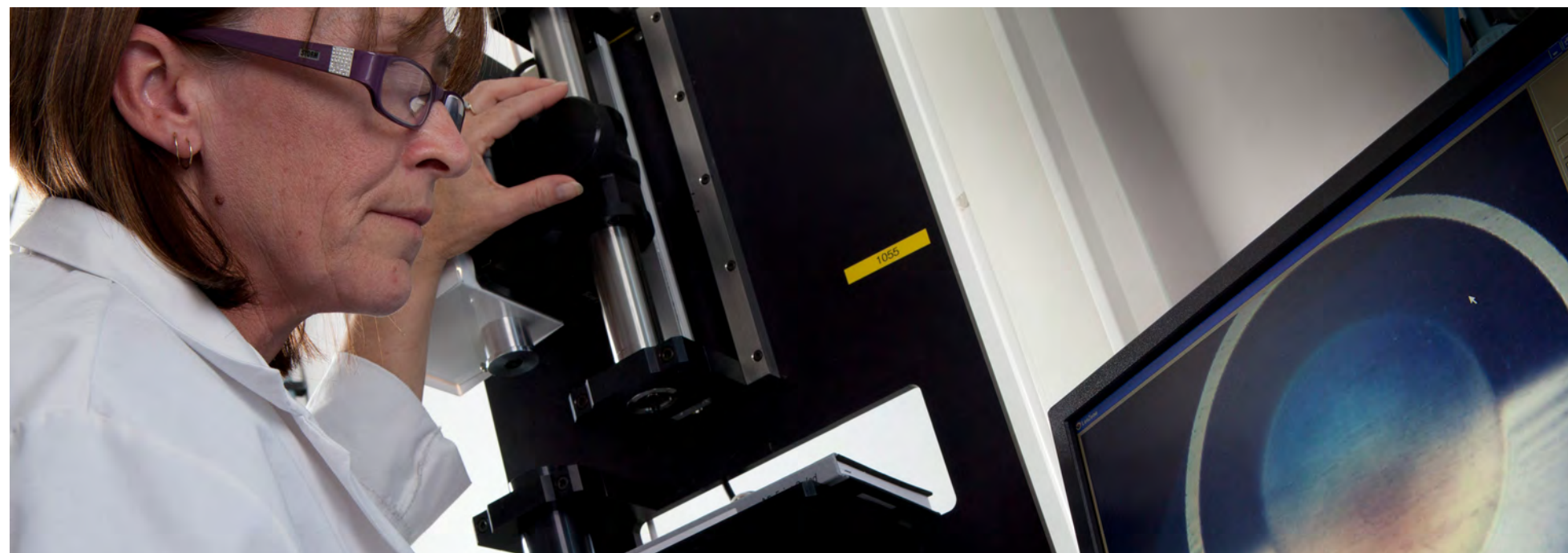
[CooperVision Supplier Code of Conduct](#)

INNOVATION AND R&D

Cooper spearheads scientific and technological breakthroughs through advanced research and development (R&D). Our R&D efforts are focused on improving existing products and developing new ones to solve customer and patient challenges and meet the world's future healthcare needs.

Product development and clinical research within CVI is supported by internal and external specialists in lens design, formulation science, polymer chemistry, clinical trials, microbiology, and biochemistry. R&D activities primarily include programs to develop new contact lens designs and manufacturing technology, along with improving formulations and existing products.

CSI conducts R&D in-house and has consulting agreements with external specialists to identify products and new technologies from disposable products to diagnostic tests to sophisticated instruments and equipment. R&D activities include the design and improvement of surgical procedure devices, the advancement and expansion of our portfolio of assisted reproductive technology products, genetic testing, as well as products within the general OB/GYN offerings.



| R&D HIGHLIGHTS¹⁴ | 2020 |
|--|-----------------|
| Number of Employees Working in R&D | 200 |
| Number of R&D Sites | 3 |
| R&D Investment | \$93.3M |
| New Product Launches | 10 |
| Product Extensions | 2 ¹⁵ |

At both businesses, we incorporate feedback from our customers into the ongoing development and improvement of new and existing products.

Ethical Research

We are dedicated to research practices that are transparent, responsible, and compliant with applicable laws, regulations, and guidelines.

Use of Animals in Research

We are committed to the ethical and responsible treatment of animals used in the discovery and development of our products. Our use of animal testing is limited to meeting regulatory and legal requirements and only conducted when non-animal testing is not yet

a scientifically valid and available option. The Company does not conduct any testing on primates.

Use of Stem Cells in Research

We do not perform or contract for any research using human stem cells, nor develop or produce any technologies or products approved for scientific research on human stem cells. Cooper also does not participate in or fund any external studies that use human stem cells or fetal tissue or cell lines.

¹⁴ CooperCompanies [2020 10-K](#)

¹⁵ U.S. FDA approval for MiSight® 1 day was received in November 2019 and U.S. commercial launch occurred in 2020

MANAGING MYOPIA AT A YOUNG AGE

Myopia, commonly known as near-sightedness, is projected to affect the vision of approximately five billion people, or half the global population, by 2050¹⁶. In addition to vision impairment, myopic progression has been linked to sight-threatening conditions later in life such as cataracts, retinal detachment, glaucoma, and myopic maculopathy.

For more than a decade, CVI has been at the forefront of tackling myopia progression and offers several products in their myopia management programs. CVI's featured product MiSight® 1 day contact lens, which has been available for many years globally, slows the progression of myopia when initially prescribed for children 8-12 years of age by up to 59% over three years^{17,18}. In 2020, following approval by the U.S. Food and Drug Administration, CVI launched MiSight® 1 day contact lens in the United States. The MiSight® 1 day lens was also awarded a 2020 Popular Science "Best of What's New Award" in the health category. As of May 2021, MiSight® 1 day is available in 31 countries around the world.



Several years from now, I believe we will look back at late 2020 as an inflection point in the global myopia management movement. Partnering with the optometry, ophthalmology, and pediatric health communities, we have a real opportunity to change the lives of countless children in the decades ahead."



DAN MCBRIDE

Chief Operating Officer, CooperCompanies and President of CooperVision

CREATING SUSTAINABLE AND LASTING CHANGE IN EYE HEALTH

CooperVision (CVI) has a long history of addressing widespread refractive issues such as myopia, astigmatism, and presbyopia. We are taking on greater challenges such as digital eye fatigue and childhood myopia. Currently an estimated one billion people globally live with some type of vision loss, 90% of which is preventable or treatable¹⁹. Vision loss can affect health and well-being at any age, making daily activities more difficult. It can also have more far-ranging consequences on school and job performance.

CVI also works to provide access to its products, which are available in more than 100 countries. CVI has representation on multiple Global Standards Committees, Ministries of Health working groups, and industry forums to continue to promote patient access to products with the latest technology.

Advancing the Field of Ocular Science

CVI is dedicated to raising the bar on product excellence and creating the next generation of contact lenses. One way we do this is through our annual Science and Technology Award Program, which supports partnerships with recipients and CVI scientists to explore new dimensions in vision care, with the goal of translating innovative ideas into practical solutions.

Since its inception in 2014, the program has investigated areas such as ocular surface health, contact lens discomfort, contact lens functionality, and retinal response to optical defocus. In 2020, the program focused on novel research concepts to address myopia and presbyopia. [Read about how Cooper achieves more through Partnerships.](#)



Collaborating with experts and innovators is critical to delivering the quality and choice patients and providers are looking for. Since launching the Science and Technology Awards in 2014, transformative collaborations have emerged, and we have high expectations for new partnerships this year."



FRANCIS ERARD

Vice President of Research & Development, CooperVision

¹⁶ Holden BA, Fricke TR, Wilson DA, Jong M, Naidoo KS, Sankaridurg P, Wong TY, Naduvilath TJ, Resnikoff S. Global Prevalence of Myopia and High Myopia and Temporal Trends from 2000 through 2050. *Ophthalmology*. 2016 May;123(5):1036-42. doi: 10.1016/j.ophtha.2016.01.006. Epub 2016 Feb 11. PMID: 26875007.

¹⁷ Chamberlain P, et al. A 3-year randomized clinical trial of MiSight® 1 day lenses for myopia control. *Optom Vis Sci*. 2019;96(8):556-567.

¹⁸ Indications for use: MiSight® 1 day (omafilcon A) soft (hydrophilic) contact lenses for daily wear are indicated for the correction of myopic ametropia and for slowing the progression of myopia in children with non-diseased eyes, who at the initiation of treatment are 8-12 years of age and have a refraction of -0.75 to -4.00 diopters (spherical equivalent) with ≤ 0.75 diopters of astigmatism. The lens is to be discarded after each removal.

¹⁹ The Lancet Global Health Commission on Global Eye Health: vision beyond 2020

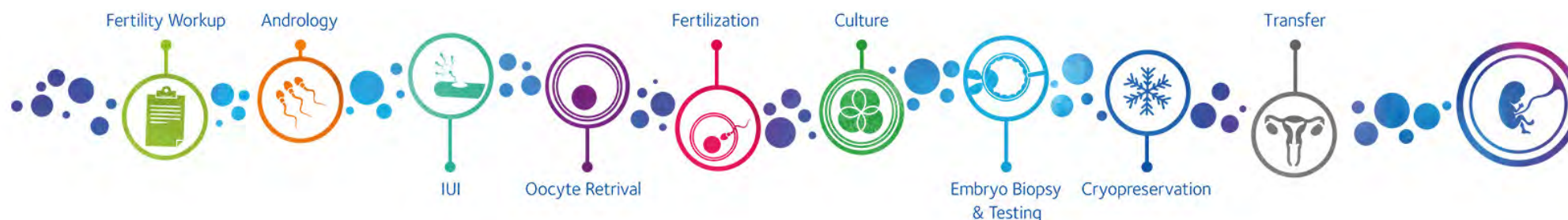


Changing Fertility for Generations to Come

Almost 200 million individuals are challenged with infertility globally²⁰ and the number of those seeking care continues to increase. CSI believes that every individual has the right to a family. Innovations in assisted reproductive technology play a critical role in empowering individuals to achieve their unique pathway to a family. CSI continues to invest in advancements across the fertility journey including genomics, embryology, and cryopreservation. CSI's innovative genetic testing technology PG-Tai provides the utmost confidence in selecting the highest quality embryo for transplant, resulting in a greater number of positive outcomes for patients. For more information, please visit our [website](#).

ADVANCING CARE FOR HEALTHY WOMEN, BABIES, AND FAMILIES

For more than 30 years, CooperSurgical has partnered with healthcare professionals by providing innovative, practice-enhancing tools, technologies, and services, spanning contraception, fertility, and preventative and therapeutic women's healthcare. These offerings help healthcare professionals advance the standards of care wherever they occur – in hospitals, surgical centers, medical offices, and fertility clinics.



²⁰ <https://www.who.int/news-room/fact-sheets/detail/infertility>



Half of the world population is women and their health is vital to our society. Women experience unique gynecological health issues and conditions, and often suffer in silence. For many individuals and couples, the dream of a family seems out of reach. CSI is focused on driving innovation and adoption of technologies that improve the quality of care for those facing these challenges – impacting areas such as infertility, pregnancy, and abnormal uterine bleeding. Partnering with healthcare providers around the world we have the capability to positively impact the lives of women and families.”



HOLLY SHEFFIELD
President of
CooperSurgical

Empowering Office-Based Care

Delivery of care in the office setting has been demonstrated to be beneficial to patients, providers and the healthcare system, lowering cost and improving care. CSI believes that improvements in office care is pivotal to addressing access disparities and outcome inequalities.

As gynecological office-based procedures continue to increase at a rapid pace, CSI is providing innovative technologies previously used in

hospitals. Products such as Endosee® Advance, and Mara™ Water Vapor Ablation System can diagnosis and treat abnormal uterine bleeding each within minutes during a patient visit.

Advancing Hospital Care

Gynecologic and obstetrical care are key offerings by hospitals globally. CSI believes there are significant advances to be made in surgical outcomes for women and maternal fetal health. Providing innovative, quality products utilized

by surgeons in gynecological surgeries as well as labor and delivery, continues to be a priority for CSI. CSI is the product leader in devices for uterine manipulation, enabling the shift towards minimally invasive surgical procedures.

Fetal Pillow®, acquired in 2021, is a medical device that allows for the elevation of the fetal head when the mother requires a c-section, decreasing the need for maternal blood transfusion and length of stay.



WHERE WE'RE GOING NEXT:

Innovation and R&D: Our pipeline has never been stronger as we aim to strengthen our vision and surgical portfolios and continue to focus on priority patient and consumer needs where our medical technology can make a meaningful impact.

Creating Sustainable and Lasting Change in Eye Health: CVI today offers more than 23 million SKUs, but is not slowing down. CVI is forging new frontiers in myopia management, comfort, and performance. Breakthrough technologies in these focused areas allow for controlling high myopia, reducing contact lens drop outs, and providing options for people to have more control over their vision choices throughout their lifetime.

Advancing Care for Healthy Women, Babies, and Families: CSI is developing next-generation products and services to assist in gynecological and obstetrical care by improving assessment, time to diagnosis, and therapeutic outcomes. Within assisted reproductive technology, our pipeline is focused on speed to pregnancy, laboratory efficacy, safety, and security.



IN THIS SECTION:

Our Approach

Energy and Greenhouse Gas Emissions

Green Buildings

Resource Conservation

Where We're Going Next

Our Planet

Protecting our planet and preserving resources is part of our commitment to improving lives.



OUR APPROACH TO ENVIRONMENTAL SUSTAINABILITY

Environmental sustainability is core to Cooper's business strategy. We believe a brighter future depends on it and we work hard to ensure our employees, customers, and stakeholders can take pride in seeing our commitment in practice. Through managing emissions, increasing our use of renewable energy, conserving resources, and embedding sustainability into our products, our operational focus is on the responsible use of the planet's natural resources. We continue to expand our environmental sustainability measures globally and work towards standardization across sites.

Governance

Environmental sustainability at Cooper is supported by business and regional leaders across CooperVision (CVI) and CooperSurgical (CSI). [Read more in Governance, Ethics, and Compliance.](#)

The CVI Environmental, Health & Safety (EHS) Global Policy highlights CVI's commitment to protecting the planet, including compliance with applicable environmental laws and regulations, partnering with community leaders,

customers and suppliers, factoring sustainability into business decisions, and educating and engaging employees in sustainable business operations.

In 2021, CSI developed its first Global Environmental Policy. Modeled closely after CVI's EHS policy, it provides a consistent enterprise-wide approach and, like CVI's, is applicable to employees, consultants, contract workers, and temporary staff worldwide.

ENERGY AND GREENHOUSE GAS EMISSIONS

Research shows that the healthcare sectors of the United States, Australia, Canada, and England combined emit approximately 2% of global greenhouse gas (GHG) emissions²¹. Cooper is managing GHG emissions across our businesses through a variety of means including comprehensive measurement of our GHG footprint, energy efficiency and clean energy upgrades at our manufacturing and distribution centers, education on sustainable commuting options, and increased employee awareness and training.

In 2020, we initiated a project measuring Cooper's GHG emissions footprint to establish an accurate baseline, inform Cooper's sustainability priorities, and highlight opportunities for meaningful emissions reductions.

²¹ <https://www.c2es.org/content/international-emissions/>

Working with an external consultant and following the GHG Protocol, the most widely used GHG accounting standard, we began by measuring our Scope 2²² footprint – emissions from the consumption of purchased electricity – for the Company’s owned and leased global sites.

We then expanded our measurement process to include Scope 1 emissions – direct emissions that occur from sources we control such as on-site equipment and company-owned vehicles²³. As of June 2021, our Scope 1 and Scope 2 GHG emissions profile has been determined for calendar years 2019 and 2020.

The next step on our GHG journey is to expand measurement to Scope 3 emissions, indirect emissions that come from sources including employee travel and commuting, our supply chain, and the use of our products. Assessing Scope 3 emissions across our value chain is a complex process and we expect this process to take time.

Scope 1 and 2 GHG Emissions Explained

Cooper’s Scope 1 and Scope 2 GHG emissions footprint increased from calendar year 2019 to calendar year 2020 despite decreased energy demand across the company primarily due to lower levels of operational activity during the COVID-19 pandemic. The 2020 increase in Cooper’s GHG

emissions was largely due to external factors affecting CVI Puerto Rico. In January 2020, Puerto Rico experienced a 6.4 magnitude earthquake that left two-thirds of residents without power. It also damaged two of the island’s natural gas-fired power plants and since that time has left the island relying on electricity generated from significantly higher emission sources.

CVI Puerto Rico was quick to respond in early 2020, taking action to support affected employees and the local community, and safely restore operations. Additionally, planning had previously been initiated to implement a two-pronged energy resiliency program for CVI Puerto Rico, which is now in the final stages of implementation. This included commissioning the construction of a natural gas-powered Combined Heat and Power (CHP) plant and company-controlled microgrid, which are expected to begin operations in 2022.

CVI Puerto Rico is also conducting a feasibility analysis to understand renewable energy options that can potentially support the site’s electricity needs.

Looking ahead Cooper is also planning to conduct a more comprehensive feasibility analysis at other global facilities to evaluate renewable energy sourcing options and energy efficiency opportunities.

Energy and Emissions KPIs 2019–2020

| | 2020 | 2019 |
|---|-------------|-------------|
| Natural gas usage (primary source of Cooper’s Scope 1 emissions) cubic meters | 9,969,231 | 9,995,375 |
| Electricity usage (primary source of Cooper’s Scope 2 emissions) kilowatt hours | 204,075,804 | 215,277,925 |
| Scope 1 GHGs tCO2e* | 29,104 | 29,747 |
| Scope 2 GHGs (location-based) tCO2e | 95,274 | 53,721 |
| Scope 2 GHGs (market-based**) tCO2e | 78,796 | 33,442 |
| Scope 1 + 2 GHGs (location-based) tCO2e | 124,378 | 83,468 |
| Scope 1 + 2 GHGs (market-based**) tCO2e | 107,904 | 63,189 |

* Tons of carbon dioxide equivalent (tCO2e)

**Market-based = Scope 2 location-based emissions net of renewable energy indirectly utilized via purchasing Renewable Energy Certificates



Above: A rendering of CVI Puerto Rico’s Combined Heat and Power plant

²² The GHG Protocol [categorizes emissions](#) into three broad scopes:

- Scope 1: Direct GHG emissions.
- Scope 2: Indirect GHG emissions from consumption of purchased electricity, heat, or steam.
- Scope 3: Other indirect emissions, such as the extraction and production of purchased materials and fuels, transport-related activities in vehicles not owned or controlled by the reporting entity, electricity-related activities (e.g., T&D losses) not covered in Scope 2, outsourced activities, waste disposal, etc.

²³ We initiated our GHG measurement project with Scope 2 due to preliminary research that showed our Scope 2 emissions would be higher than Scope 1 emissions. This is due to higher levels of electricity reliance by our largest global facilities relative to fossil fuel usage on site.

Renewable Energy

Across our businesses, we are making efforts to transition to cleaner energy sources. In New York state, Cooper has transitioned all key facilities²⁴ in the state to 100% sourced renewable electricity via Renewable Energy Certificates (RECs). Additionally, all CVI sites in the United Kingdom source 100% renewable electricity via RECs.

As both CVI and CSI continue to expand operations and transfer key manufacturing lines to Costa Rica from other global locations, Cooper's Scope 2 GHG footprint will benefit from the country's energy policy ambitions to achieve 100% renewable electricity. Roughly, 95-98% of the country's electricity has come from renewable sources since 2014²⁵.

LEED® AND BREEAM® CERTIFICATIONS

We have constructed and retrofitted several of our largest facilities to align to internationally recognized green building standards, such as LEED® and BREEAM®.

- BREEAM® Excellent, Southampton, United Kingdom (2017)
- LEED® Silver, Alajuela, Costa Rica (CVI: 2018, 2021)
- LEED®, Madrid, Spain (2019)
- LEED® Silver, Juana Díaz, Puerto Rico (2020)
- Currently pursuing LEED® certification: Scottsville and West Henrietta, NY; Alajuela, Costa Rica (CVI facility expansion project and CSI facility)

GREEN BUILDINGS

Sustainable construction and retrofits to our sites reduce impacts while demonstrating to employees and communities we share their desire for a more sustainable world. Highlights of our commitment to sustainable buildings include:

- We conduct environmental, health, and safety project evaluations for new – or modifications to – facilities, equipment, or utilities at most CVI sites.
- CVI's United Kingdom manufacturing, packaging, and distribution sites, our Hungary manufacturing site, and Belgium distribution center sent zero waste to landfill in 2020.
- CVI's Mountpark, United Kingdom distribution hub runs entirely on biomass power via RECs.
- Our Scottsville, NY, Puerto Rico, and CVI and CSI Costa Rica sites have implemented LED lighting and introduced variable-speed motors for reduced power consumption.
- Energy-efficient LED lighting covers 100% of CVI's Costa Rica manufacturing site and 97% of CVI's West Henrietta, NY, distribution site.



Achieving LEED certification is more than implementing sustainable practices. It represents a commitment to making the world a better place and influencing others to do better.”

MAHESH RAMANUJAM
President and CEO, U.S. Green Building Council²⁶

²⁴ Includes CSI Paragard, CVI Victor corporate office, CVI Scottsville manufacturing, CVI West Henrietta distribution

²⁵ <https://www.worldfuturecouncil.org/100-renewable-energy-costa-rica/#:~:text=Costa%20Rica%20is%20already%20a,to%20almost%20all%20the%20population>

²⁶ <https://coopervision.com/our-company/news-center/press-release/coopervision-costa-rica-manufacturing-plant-earns-prestigious>

CREATING THE FIRST NET PLASTIC NEUTRAL CONTACT LENS

Building on our commitment to sustainability, in March 2021, Cooper announced its partnership with [Plastic Bank](#) to create the first [net plastic neutral contact lens](#).

Plastic Bank, a social enterprise building ethical recycling ecosystems in coastal communities, enables individuals to receive income by collecting ocean-bound plastic waste²⁷. For every box of clariti® 1 day distributed in the United States, Cooper will purchase a credit from Plastic Bank to collect and convert into reusable feedstock the equivalent amount of plastic, factoring in the entire product from the lens and blister to the inks, adhesive and laminates embedded within the packaging. Our U.S. launch is just the beginning, and we intend to expand this model to other countries and products in the future.

RESOURCE CONSERVATION

Research shows customers are increasingly concerned about the environmental impacts of the products they purchase. From our operations to the materials that make up our products and packaging, we continue to innovate and seek out new ways to reduce our use of the planet’s natural resources.

Waste

While a global approach to waste reduction is under development at Cooper, across our business units we focus on materials reduction, recycling, and reuse. From designing our products for easy recyclability to creating the first net plastic neutral contact lens, we continue to look for opportunities for sustainability across the entire product lifecycle.

For example, across CVI manufacturing sites in Hungary, Costa Rica, and Puerto Rico more than 99% of plastic components generated

in manufacturing processes are recycled and then repurposed by outside manufacturers to make things from traffic safety cones to plastic containers. CVI is also continuously managing waste generated during production, warehouse, distribution, and secondary packaging processes and in 2020, more than 95% of materials were recycled (cardboard, wood, paper, and oil).

Water

Water is a vital resource — for our businesses and for the communities where we live and work. Across our operations we are reducing overall usage, increasing reuse of manufacturing process water, and collecting rainwater for use in lavatories and climate control systems. For example, at our CVI Puerto Rico and Costa Rica manufacturing facilities there is a process water reuse program that saves 135 million liters annually, representing a 35% reduction in demand for well- and city-provided water.



²⁷ Plastic Bank FAQ; Ocean-bound is defined as plastic waste collected within 50km of waterways or coastal areas.



Plastic currently plays a critical role in the hygienic delivery and sterile protection of our contact lenses, and how that plastic is managed is important to us. The commitment to making clariti® 1 day net plastic neutral is the next step in CooperVision’s sustainability journey — and provides a unique opportunity for eyecare professionals to offer even more value to their patients.”



MELISSA KIEWE
Vice President
of Marketing,
Americas

ENVIRONMENTAL ACHIEVEMENTS IN PUERTO RICO

This year, CooperVision Puerto Rico, one of our largest operations globally, continued to build on its legacy of environmental stewardship, **achieving** the globally recognized LEED® Silver green building certification. The 540,000-square-foot site located in Juana Díaz has received numerous recognitions and awards for its sustainability initiatives, standing out in LEED® categories for energy performance, indoor environmental quality, and location and transportation.

The site’s environmental initiatives continue to extend beyond those considered by LEED®. For example, through the development of a combined heat and power facility, the site is moving towards more energy efficient, lower emitting, and lower cost electricity sources.

The site also invests in empowering the local community. This year, a \$25,000 grant to STEM nonprofit **EcoExploratorio, Inc.** is supporting the creation of a Scientific Room of Marine Life at the Puerto Rico Science Museum to educate visitors and local students on the importance of preserving and protecting Puerto Rico’s rich and diverse marine life.



Our focus on manufacturing facilities—reducing, reusing, conserving, and recycling—provides the opportunity to make the greatest impact. We are proud to be an industry leader in this area.”



ROLANDO TORRES
Executive Vice President,
Global Manufacturing
Operations, CooperVision

WHERE WE’RE GOING NEXT

Our Approach to Environmental Sustainability: We recognize that as our business continues to grow, there will be opportunities to strengthen and further embed our approach to environmental sustainability in order to help mitigate our environmental impact. In the years to come, we will look to develop a global Environmental, Health, and Safety policy for CooperCompanies including all business units, further expand our measurement and disclosure of environmental key performance indicators, and continue to assess environmental management at our facilities against leading global standards.

Energy and Greenhouse Gas

Emissions: We will work towards developing our Scope 3 GHG footprint calculation and look to expand our portfolio of internationally recognized green-building sites. As an example, CooperSurgical is actively pursuing solar panels at its America’s sites, evaluating battery backups in lieu of generators, and plans to apply green building and sustainability best practices implemented at its Costa Rica facility to other locations.



Our Partnerships

We collaborate with nonprofits, educators, and industry organizations to accelerate the industries we work in and address unmet healthcare needs.



IN THIS SECTION:

Advancing the Industry

Global Impact

Where We're Going Next

[Read more about how we supported communities during COVID-19](#)

ADVANCING THE INDUSTRY

Building the Skills of Eye Care Professionals Worldwide

CooperVision (CVI) seeks to help eye care professionals stay up to date with the rapid advances in eye care treatment and to strengthen the services they offer to their patients. CVI supports eye health clinics and practices with world-class training at its centers of excellence in multiple countries. In 2020, CVI hosted in-person and online training for over 42,000 educators, students, industry personnel, and practitioners. We also host a diverse range of free online courses and workshops for eye care practitioners and medical professionals and provide practical guidance and clinical resources on [our website](#).

In 2020, CVI launched a new peer-to-peer virtual learning series through the [ECP ViewpointsSM program](#), which will continue throughout 2021. Since 2016, we have also hosted our [Best Practices initiative](#) to honor peer-selected optometric practices from across the United States that advance the profession through innovation, industry leadership, and exceptional patient experience. To date, CVI has honored 60 optometric practices at its annual Best Practices Summit, where attendees share innovative practices and hear from other thought leaders.

Working in Partnership

We work with partners, such as those below, to expand access to high-quality eye care and strengthen the skills of eye care professionals. [Read more about these and other partners on our website.](#)



Through a global partnership, CVI is working with the [World Council of Optometry](#) to raise awareness of myopia progression and encourage optometrists to embrace a standard of care to manage the condition. The initiative, which uses evidenced-based approaches without bias toward any particular treatment methodologies, seeks to establish multi-lingual myopia management resources and programming. Progress has certainly been made in this effort with the World Council of Optometry recently approving a resolution advising optometrists to incorporate myopia management as standard of care in their facilities.

In early 2021, CVI announced a five-year commitment to support the [American Academy of Ophthalmology's](#) efforts to protect children from high myopia. The Academy-guided endeavor seeks to raise awareness of the increasing number of children at risk of this common eye condition and the effectiveness of new interventions to slow it.

CVI support to the [American Academy of Optometry](#) includes sponsorship of activities to increase clinical contact lens awareness through education and research. Additionally, we provide an educational grant to the Academy's Foundation to support optometric

research and education, including staff training.

CVI supports the [American Optometric Association](#) (AOA) through a year-round platform that delivers contact lens education to eye care professionals and AOA staff. Additionally, we support Optometry Cares: The AOA Foundation, which helps to fund optometrists impacted by natural disasters.

Educating Future Optometrists

Educating future optometrists about myopia management is a critical component of our category growth plan. We partnered pre-launch with the faculty at six schools and colleges to help with our MiSight® 1 day ECP certification program. They participated in content development, discussion boards, and educational webinar sessions. Since launch, the six schools have certified faculty and are eligible to prescribe MiSight® 1 day. The contact lens and cornea residents were registered to certify last fall, and this spring, we invited third and fourth year students to certify prior to graduation. We also added MiSight® 1 day to the Adopt-A-Patient program, which provides an annual supply of product at no cost to children in need.

These opportunities will continue each year moving forward, making sure that there is

robust support in the schools and colleges to learn about and prescribe the Brilliant Futures Myopia Management Program. We are also piloting a myopia immersion program this summer to partner rising second year students with MiSight® 1 day prescribers in-office to provide early exposure to the category. The three partner schools are the University of Houston College of Optometry, the Illinois College of Optometry, and the University of California Berkeley College of Optometry.

CooperSurgical Center of Excellence

CooperSurgical (CSI) hosted 65 educational webinars in 2020 to provide practitioners with new skills and knowledge. More than 15,000 participants joined from 129 countries, with another 23,000 accessing materials through CSI's library. Of viewers who participated, 96% found the webinars to be relevant to their day-to-day work.

CSI also provides virtual and hands-on courses through its Center of Excellence-based educational programs. In 2020, more than 9,000 people participated in 110 courses, with an additional 17,000 accessing library materials. The participants attended our embryology labs based in the U.S., Russia, Japan, Belgium, India, and Denmark.



ENHANCING VISION CARE INCLUSION WITH SPECIAL OLYMPICS

Across the world, individuals with intellectual disabilities (ID) remain one of the most socially isolated, at-risk population subsets. Many with vision needs are going unnoticed and often the vision care community is not trained in how best to support people with ID. Globally, 35% of Special Olympics athletes need new prescription glasses and 23% have never received an eye exam²⁸.

On World Health Day 2021, CVI confirmed its support of the [Special Olympics Opening Eyes Program](#) through a three-year partnership with [Optometry Giving Sight \(OGS\)](#) and Special Olympics. Together, the three organizations have committed \$300,000 through 2023 to provide Special Olympics athletes with high-quality vision and eye health screenings, prescription eyewear, and sports goggles, while also providing improved education and training for eye care professionals and optometry students so they are better able to meet the unique needs of people with ID.

The collaboration will also educate athletes and their families in Kenya and the U.S. (two key countries for the Special Olympics) around key aspects of eye care, such as how to care for glasses and contact lenses. The partnership aims to provide Opening Eyes services to a minimum of 2,000 athletes participating in Special Olympics games in the U.S. and 500 in Kenya, with a focus on rural communities.



GLOBAL IMPACT

Through Cooper Giving, our global charitable giving program, we contribute time, money, and resources to organizations including [OGS](#) and [March of Dimes](#). For example, employees can receive a direct match of up to \$5,000 annually for donations to either organization.

Additionally, we encourage local sites to support the causes they are passionate about. Through our local charities program, organizations can apply for up to \$1,000 for events in the communities where Cooper operates. For examples of the many community-based organizations our teams support, visit our [website](#).

CooperVision: Giving Sight and Opportunity

More than one billion people are unnecessarily blind or vision impaired because they cannot access regular eye care. CooperVision (CVI) is a long-standing partner of OGS, a leading nonprofit that has provided basic eye care services to over seven million people since 2007. CVI renewed its partnership agreement through 2023 as a Global Platinum Sponsor. CVI employees have also raised \$1.3 million to date, including matching funds, by participating in the OGS World Sight Day challenge, funding the equivalent of eye

exams for over a quarter million people in the developing world²⁹. Through these efforts, as well as a patient rebate program, and cause-related marketing campaigns, CVI has generated over \$3 million in contributions for OGS to date.

CVI is also a global patron of the International Agency for the Prevention of Blindness and a founding member of the Global Myopia Awareness Coalition, bringing greater awareness and action to the growing prevalence and severity of myopia in children worldwide.

CooperSurgical: Healthy Mothers, Healthy Babies

CooperSurgical (CSI) is the platinum sponsor for [Resolve.org](#) – the national infertility association. From 2019 through 2020, CSI donated \$165,000 to March of Dimes to assist in advancing the nonprofit's mission of supporting the health of mothers and their babies. Additionally, through fundraising and dissemination of materials, CSI employees helped March of Dimes translate and distribute health education materials to directly serve the communities where Cooper has offices and staff. CSI is continuing to look at ways to partner with organizations that share its values and support healthy women and families.

²⁸ <https://www.specialolympics.org/videos/inclusive-health-opening-eyes?locale=en>

²⁹ As of December 2020

Data and Performance



Data Summary Table and Sustainability Accounting Standards Board (SASB) Index

SASB is an independent nonprofit organization that sets standards to guide the disclosure of sustainability information by companies to their investors. The following Index maps our disclosures to certain SASB indicators. Data and information in this Report pertain to efforts in 2019, 2020, and 2021 and we specify if metrics are provided for fiscal or calendar year.

| Topic | Accounting Metric(s) | 2020 Data/Response | 2019 Data | SASB Code |
|-------------------------|--|--|-----------|--------------|
| Affordability & Pricing | Description of how price information for each product is disclosed to customers or to their agents | <p>CooperVision (CVI) sells spherical, toric, multifocal, and toric multifocal lens products in most modalities to key accounts, which include optical chains, global retailers, certain buying groups and mass merchandisers. CVI operates in a highly competitive market and pricing, along with product quality, technological benefit, service, and reliability are the primary criteria for differentiation for CVI products.</p> <p>CooperSurgical (CSI) offers a broad array of products and services focused on advancing the health of women, babies, and families through a diversified portfolio of products and services including medical devices, fertility, genomics, diagnostics, and contraception. Sales of CSI products are primarily to hospitals and surgical centers, OB/GYN medical offices, and fertility clinics. Payment depends on the availability of payor coverage and the adequacy of reimbursement, for the procedures using our products, by government insurance programs and other third-party payors. Read more on pages 21-22, 40, and 47 of our 2020 10-K.</p> | | HC-MS-240a.2 |
| Product Safety | Number of recalls issued; total units recalled | | | HC-MS-250a.1 |
| | Total Recalls ³⁰ | 10 | 8 | |
| | Class 1 | 0 | 0 | |
| | Class 2 | 9 | 6 | |
| | Class 3 | 1 | 2 | |
| | Total Units | 9,839 | 305,490 | |

³⁰ Recall data is based on U.S. Food and Drug Administration (FDA) classification date and is publicly available. Recalls generally involved incorrect labeling, faulty sealing of product pouches, or minor performance issues.

| | | | | |
|---------------------------------------|--|--|--|--------------|
| Product Safety | List of products listed in the FDA's MedWatch Safety Alerts for Human Medical Products database | 0 | 0 | HC-MS-250a.2 |
| Product Safety | Number of fatalities related to products as reported in the FDA Manufacturer and User Facility Device Experience | 0 | 0 | HC-MS-250a.3 |
| Product Safety | Number of FDA enforcement actions taken in response to violations of current Good Manufacturing Practices (GMP), by type | 0 | 0 | HC-MS-250a.4 |
| Ethical Marketing | Total amount of monetary losses as a result of legal proceedings associated with false marketing claims | \$0.00 in monetary losses as a result of legal proceedings | \$0.00 in monetary losses as a result of legal proceedings | HC-MS-270a.1 |
| Ethical Marketing | Description of code of ethics governing promotion of off-label use of products | Code of Conduct page 14 | | HC-MS-270a.2 |
| Product Design & Lifecycle Management | Discussion of process to assess and manage environmental and human health considerations associated with chemicals in products, and meet demand for sustainable products | <p>Most of our products are medical devices subject to extensive regulation by the FDA in the United States and other regulatory bodies abroad. We also maintain compliance to Therapeutic Goods Administration of Australia, Brazil's Agencia Nacional de Vigilancia Sanitaria, Health Canada, Japan's Ministry of Health, Labour, and Welfare, and the Japanese Pharmaceuticals and Medical Device Agency.</p> <p>The Company continues to monitor and comply with environmental health and safety regulations in countries in which it operates throughout the world, in particular, European Union and China Restrictions on the use of certain Hazardous Substances in electrical and electronic equipment (RoHS) and Registration, Evaluation, Authorization and Restriction of Chemical substances, or REACH.</p> | | HC-MS-410a.1 |

| | | | | |
|-------------------------|--|---|--|--------------|
| Supply Chain Management | Percentage of (1) entity's facilities and (2) Tier I suppliers' facilities participating in third-party audit programs for manufacturing and product quality | (1) 100% of CooperVision's and CooperSurgical's certified manufacturing and distribution facilities participate in third-party (auditing organization) audits (2) 94% of CooperVision's tier one suppliers participate in third-party audit programs. CooperSurgical uses a performance monitoring supplier scorecard and typically audits high-risk suppliers every three years on site and medium-risk suppliers every three years remotely. | | HC-MS-430a.1 |
| Supply Chain Management | Description of efforts to maintain traceability within the distribution chain | To maintain traceability of our products within the distribution chain, CooperVision and CooperSurgical apply track and trace procedures that comply with global regulatory requirements. These track and trace procedures monitor end-to-end traceability and identification through the stages of manufacturing, distribution, and supply chain. CooperVision and CooperSurgical use Unique Device Identifiers (UDIs) on required medical device packaging. UDI incorporates human and machine-readable identification that provides product tracing. | | HC-MS-430a.2 |
| Supply Chain Management | Description of the management of risks associated with the use of critical materials | For each critical material within its supply chain, CooperVision assesses the potential risk of disruption to supply, sets inventory targets, and develops risk mitigation plans. The sourcing of critical materials within CooperVision is managed by the Global Sourcing Team, which maintains a risk tracker for each supplier. The risk tracker is updated and reviewed at least annually. Critical material suppliers are subject to regularly scheduled internal audits and most critical materials are, where possible, dual sourced. We expect our suppliers to abide by CooperVision's Supplier Code of Conduct and CooperSurgical's Supplier Terms and Conditions . CooperCompanies also seeks to understand the origin of the materials that go into our products, and are committed to compliance with conflict minerals requirements, supplier due diligence, and ongoing supply chain evaluation. Read more about our approach in our Conflict Minerals report | | HC-MS-430a.3 |
| Business Ethics | Total amount of monetary losses as a result of legal proceedings associated with bribery or corruption | \$0.00 in monetary losses as a result of legal proceedings | \$0.00 in monetary losses as a result of legal proceedings | HC-MS-510a.1 |
| Business Ethics | Description of code of ethics governing interactions with health care professionals | Code of Conduct pg 31 | | HC-MS-510a.2 |

Additional Key Performance Indicators

| | | 2020 | 2019 |
|--|--|-------------------|-------------------|
| Greenhouse Gas Emissions | Scope 1 GHGs tons of carbon dioxide equivalent (tCO2e) | 29,104 | 29,747 |
| Greenhouse Gas Emissions | Scope 2 GHGs tCO2e (Location-Based) | 95,274 | 53,721 |
| Greenhouse Gas Emissions | Scope 2 GHGs tCO2e (Market-based) | 78,796 | 33,442 |
| Greenhouse Gas Emissions | Scope 1 + 2 GHGs tCO2e (Location-Based) | 124,378 | 83,468 |
| Greenhouse Gas Emissions | Scope 1 + 2 GHGs tCO2e (Market-Based) | 107,904 | 63,189 |
| Energy | Natural gas usage (primary source of Scope 1 emissions) cubic meters | 9,969,231 | 9,995,375 |
| Energy | Electricity usage (primary source of Scope 2 emissions) kilowatt hours | 204,075,804 | 215,277,925 |
| Employee Safety | Lost Time Case Rate (Lost time cases x 200,000 / total hours worked) | FY 2020 CVI: 0.85 | FY 2019 CVI: 1.09 |
| Workforce ³¹ | Global Employees | 11,727 | 10,455 |
| Workforce Diversity - Global Employees ³² | Gender Diversity - Global Employees | 48% | unavailable |
| Workforce Diversity - Global Employee ³² | Gender Diversity - First Line Managers / Supervisors | 43% | 42% |
| Workforce Diversity - Global Employee ³² | Gender Diversity - Directors / Senior Managers | 35% | 35% |
| Workforce Diversity - Global Employee ³² | Gender Diversity - VPs and Above | 25% | 22% |
| Workforce Diversity - U.S. Employees ³³ | White | 67% | 69% |
| Workforce Diversity - U.S. Employees ³³ | Asian | 14% | 13% |
| Workforce Diversity - U.S. Employees ³³ | Hispanic or Latino | 11% | 10% |
| Workforce Diversity - U.S. Employees ³³ | Black or African American | 7% | 7% |
| Workforce Diversity - U.S. Employees ³³ | Two or More Races | 1% | 1% |
| Workforce Diversity - U.S. Employees ³³ | American Indian or Alaska Native | <1% | <1% |
| Workforce Diversity | Native Hawaiian or Pacific Islander | <% | <1% |

³¹ Data as of December, 2020

³² Diversity data in 2020 column is as of May 2020; Diversity data in 2019 column is as of July 2019

³³ Diversity data in 2020 column is as of December 2019; Diversity data in 2019 column is as of December 2018

Forward-Looking Statements

This report contains “forward-looking statements” as defined by the Private Securities Litigation Reform Act of 1995. Statements relating to guidance, plans, prospects, goals, strategies, future actions, events or performance and other statements of which are other than statements of historical fact, including all statements regarding the expected impact of the ongoing COVID-19 pandemic on our business; and statements regarding acquisitions including the acquired companies’ financial position, market position, product development and business strategy, expected cost synergies, expected timing and benefits of the transaction, difficulties in integrating entities or operations, as well as estimates of our and the acquired entities’ future expenses, sales and diluted earnings per share are forward-looking. In addition, all statements regarding anticipated growth in our revenue, anticipated effects of any product recalls, anticipated market conditions, planned product launches and expected results of operations and integration of any acquisition are forward-looking. To identify these statements look for words like “believes,” “outlook,” “probable,” “expects,” “may,” “will,” “should,” “could,” “seeks,” “intends,” “plans,” “estimates” or “anticipates” and similar words or phrases. Forward-looking statements necessarily depend on assumptions, data or methods that may be incorrect or imprecise and are subject to risks and uncertainties.

Detailed descriptions of a number of important risk factors that could cause our actual results and future actions to differ materially from those described in forward-looking statements can be found in our Securities and Exchange Commission filings, including under the “Forward-Looking Statements” section in our press releases and under the “Business”, “Risk Factors” and “Management’s Discussion and Analysis of Financial Condition and Results of Operations” sections in our most recent Annual Report on Form 10-K, as such sections may be updated in our quarterly filings, copies of which are available on the Company’s website: www.coopercos.com. We caution investors that forward-looking statements reflect our analysis only on their stated date. We disclaim any intent to update them except as required by law.

“All trademarks appearing in this report are trademarks owned by or licensed to CooperCompanies or its subsidiaries.”

