



# ESG Performance Data



	2015	2016	2017	2018	2019
<b>R&amp;D PRODUCTIVITY</b>					
Number of first-to-market launches	12	8	10	14	14
Number of product approvals (major markets) <sup>1</sup>	16	26	43	64	58
<b>QUALITY MANAGEMENT SYSTEM</b>					
<b>Number of recalls issued SASB HC-MS-250a.1</b>					
Number of FDA-initiated recalls	—	—	—	—	—
Class I	—	—	—	—	—
Class II	—	—	—	—	—
Class III	—	—	—	—	—
<b>Total recalls for medical device products</b>	5	3	3	3	1
Recalls in non-US markets (medical device)	5	3	1	3	—
Recalls initiated voluntarily and not reported to FDA - class III (medical device)	—	—	—	—	1
<b>Total recalls for medical device products (units)</b>	349,822	266,074	558,274	53,712	79
Recalls in non-US markets (medical device)	129,144	208,572	93	15,060	—
Recalls initiated voluntarily and not reported to FDA (medical device)	—	—	—	—	79
<b>QUALITY MANAGEMENT SYSTEM</b>					
<b>Products listed in the FDA's MedWatch Safety Alerts for Human Medical Products database SASB HC-MS-250a.2</b>	—	—	—	1 <sup>2</sup>	—
<b>Number of fatalities related to products as reported in the FDA Manufacturer and User Facility Device Experience SASB HC-MS-250a.3</b>	—	—	—	—	—
<b>Number of FDA enforcement actions taken in response to violations of Current Good Manufacturing Practices (CGMP), by type SASB HC-MS-250a.4</b>	—	—	—	—	—

<sup>1</sup> US / EU / Canada / Japan / Brazil / Korea / Australia / China / Russia / India

<sup>2</sup> CyPass Micro-Stent System

	2015	2016	2017	2018	2019
<b>RELATIVE PRICE PERFORMANCE</b>					
Ratio of weighted average rate of net price increases in the US (for all products) to the annual increase in the US CPI <b>SASB HC-MS-240a.1</b>	N/A	N/A	N/A	N/A	0.73
<b>PHILANTHROPY<sup>3</sup></b>					
Number of medical missions supported	549	646	554	593	529
Number of surgeries	34,000	47,000	34,000	36,000	38,000
Number of people treated	393,000	484,000	392,000	414,000	308,000
<b>ENVIRONMENTAL PERFORMANCE</b>					
<b>Water consumption</b> (megaliters) <b>GRI 303-5</b>					
Total water consumption from all areas (megaliters)	3,373	3,616	3,293	3,524	3,793 <sup>4</sup>
<b>Waste by type and disposal method</b> (tons) <b>GRI 306-2</b>					
Total hazardous (tons)	18,836	19,206	19,784	20,462	20,993
Total non-hazardous (tons)	18,559	17,078	19,878	21,797	25,655 <sup>4</sup>
<b>Energy intensity</b> (gigajoules/million units produced) <b>GRI 302-3</b>					
Energy intensity ratio for the organization (gigajoules/million units produced)	1,016	947	780	726	761 <sup>4</sup>
<b>Emissions intensity</b> (tons of GHG/terajoule) <b>GRI 305-4</b>					
GHG emissions intensity ratio for the organization on-site generated energy (t/TJ)	55	57	56	55	55
GHG emissions intensity ratio for the organization purchased energy (t/TJ)	151	151	143	142	141

<sup>3</sup> For safety reasons, Alcon does not support medical missions to countries with US State Department Level 4 travel advisories. In 2018, Alcon supported 79 missions to Haiti. In 2019, Haiti was at a Level 4 for several months, which affected mission activity.

<sup>4</sup> Includes 67 Commercial Operations sites in 2019.

	2015	2016	2017	2018	2019
<b>TALENT ATTRACTION &amp; RETENTION</b>					
Total turnover rate	11.7%	11.4%	9.3%	8.7%	9.0% <sup>5</sup>
Voluntary turnover rate	7.2%	7.1%	6.0%	5.8%	6.0%
<b>DIVERSITY &amp; INCLUSION</b>					
Global female representation				48%	47%
Global female representation (managers/supervisors)				33%	34%
US ethnically diverse <sup>6</sup>				42%	44%
US ethnically diverse (managers/supervisors) <sup>6</sup>				25%	26%
<b>SAFETY PERFORMANCE</b>					
<b>Work-related injuries</b> <b>GRI 403-9</b>					
Employee fatalities	—	—	1	—	—
Contractor fatalities	—	—	—	—	—
High-consequence work-related injuries (excluding fatalities) — associates	Not Tracked	1	—	1	—
Recordable work-related injuries (including fatalities) — associates	196	155	143	148	143
<b>Work-related injury rate</b> <b>GRI 403-9</b>					
Employee fatalities	—	—	0.01	—	—
Contractor fatalities	—	—	—	—	—
High-consequence work-related injuries (excluding fatalities) — associates	Not Tracked	0.003	—	0.005	—
Recordable work-related injuries (including fatalities) — associates	0.62	0.51	0.74	0.78	0.53
Employee Total Recordable Case Rate (TRCR) <sup>7</sup>	0.62	0.51	0.74	0.78	0.53
Employee Lost Time Incident Rate (LTIR) <sup>8</sup>	0.15	0.12	0.15	0.18	0.10

<sup>5</sup> Total turnover rate in 2019 was calculated manually, due to the transition to a new human resources software application for our associates in the UK and Ireland in October 2019.

<sup>6</sup> Includes American Indian/Alaska Native, Asian, Black/African-American, Hispanic/Latino, Native Hawaiian/Other Pacific Islander, and two or more races.

<sup>7</sup> Total Recordable Case Rate (TRCR): Indicator represents the frequency of recordable cases (injury and illness) for all Alcon associates and third-party personnel. It is calculated as follows: number of all work-related recordable cases divided by the number of hours worked by Alcon associates and third party personnel and multiplied by 200,000.

<sup>8</sup> Lost Time Incident Rate (LTIR): Indicator represents the frequency of work-related lost time cases (injury and illness). It is calculated as follows: the total number of work-related cases of injury or illness with lost time is divided by number of hours worked by Alcon associates and third party personnel and multiplied by 200,000.

	2015	2016	2017	2018	2019
<b>BUSINESS ETHICS</b>					
Code of Business Conduct Training completion rate	99%	99%	99%	98%	98%
Number of grievances filed per year	955	842	607	473	513
<b>Total amount of monetary losses as a result of legal proceedings associated with bribery or corruption</b> <b>SASB HC-MS-510a.1</b>	—	—	—	—	—
<b>Total amount of monetary losses as a result of legal proceedings associated with false marketing claims</b> <b>SASB HC-MS-270a.1</b>	Not Tracked	Not Tracked	Not Tracked	—	—
<b>RESPONSIBLE PROCUREMENT AND SUPPLY CHAIN</b>					
Percentage of (1) entity's facilities participating in third-party audit programs for manufacturing and product quality <b>SASB HC-MS-430a.1</b>	100%	100%	100%	100%	100%
Percentage of (2) Tier 1 suppliers' facilities participating in third-party audit programs for manufacturing and product quality <b>SASB HC-MS-430.2</b>	Not Tracked	Not Tracked	Not Tracked	Not Tracked	100%