

2021

Sustainability Report

GLAUKOS[®]
TRANSFORMING VISION

WE'LL GO FIRST

Innovation is at the core of everything we do.
At Glaukos, we push the limits of science and
technology to solve unmet needs in
chronic eye diseases.

GLAUKOS®
TRANSFORMING VISION

A MESSAGE FROM OUR CHAIRMAN & CEO

If I've learned anything since the outset of COVID, it's that our employees and teams at Glaukos are resilient. We have an unwavering commitment to doing things the right way supported by real science, robust clinical evidence, and an unrelenting focus on patients. I'd like to recognize the continued dedication and resiliency of our teams around the globe who remain steadfastly committed to their work throughout the ongoing pandemic.

Over the course of 2021, we continued to invest significant time and resources into better understanding what drives sustainability at Glaukos, optimizing meaningful goals to propel us forward on Environmental, Social, and Governance (ESG) matters, and examining how best to present our progress to our stakeholders. Continuing to grow and enhance our ESG policies and programs is a key priority for us now and in the future. Our commitment to continuous improvement as responsible corporate citizens is unwavering and we hope that our 2021 Sustainability Report reflects that dedication.

In closing, we believe Glaukos is different. We are change agents. We are pursuing ground-breaking innovation in glaucoma, corneal health, and retinal diseases. Our platforms are disruptive, our ideas are big,



*Thomas W. Burns
Chairman and Chief Executive Officer*

and our mission is ambitious. We are continuing to invest in Glaukos, scale our team, and advance our mission to transform vision with disruptive, dropless, game-changing platform innovations. We are excited about our prospects, confident in our ability to execute our plans, and truly believe we are entering into a transformative period for our Company in the years to come.

We express our heartfelt gratitude to each of you for your continued support of Glaukos.

Thomas W. Burns
Chairman and Chief Executive Officer

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ABOUT THIS REPORT

This is Glaukos' third annual sustainability report covering the 2021 calendar year, January 1, 2021, through December 31, 2021. This report covers all Glaukos operations and does not address the performance or operations of our suppliers, contractors, customers, or other third parties unless otherwise stated.

This report references the Global Reporting Initiative (GRI) and Sustainability Accounting Standards Board (SASB) frameworks. We did not seek external assurance for this report.

Glaukos Internal Audit conducted a review of this report primarily focused on reviewing documentation in support of 2021 metrics, goal attainment, and other numerical measures reported. The Compensation, Nominating, and Governance Committee of our Board of Directors and our management Disclosure Committee review our annual sustainability report prior to publication.

To provide feedback or for questions on this report, please contact sustainability@glaukos.com.

GRI 102-50; GRI 102-51; GRI 102-52; GRI 102-53

FORWARD-LOOKING STATEMENTS All statements other than statements of historical facts included in this report that address activities, events, or developments that we expect, believe, or anticipate will or may occur in the future are forward-looking statements. Although we believe that we have a reasonable basis for forward-looking statements contained herein, we caution you that they are based on current business aspirations and expectations about future events affecting us and are subject to risks, uncertainties and factors relating to our operations and business environment, all of which are difficult to predict and many of which are beyond our control, that may cause our actual results to differ materially from those expressed or implied by forward-looking statements in this report. These risks, uncertainties, and factors related to Glaukos, and our business are described in detail under the caption "Risk Factors" and elsewhere in our Annual Report on

Form 10-K for the year ended December 31, 2021, which was filed with the Securities and Exchange Commission on February 28, 2022. Our filings with the Securities and Exchange Commission are available in the Investor Section of our website at www.glaukos.com or at www.sec.gov. In addition, information about the risks and benefits of our products is available on our website at www.glaukos.com. Readers are cautioned not to place undue reliance on any estimate, aspirational targets or forward-looking statement contained herein, which speak only as of the date made. We do not undertake any obligation to update, amend or clarify the statements set forth herein, whether as a result of new information, future events or otherwise, except as may be required under applicable securities law.

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2021: ESG ACHIEVEMENT HIGHLIGHTS



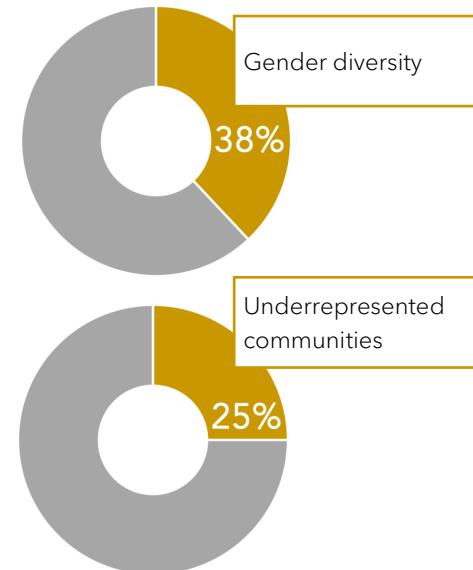
Received ISO14001 Certification for San Clemente campus



Established DEI Forum comprised of global, cross-functional employees and executive sponsors to champion DEI initiatives

Increased Board Diversity

Recruited two new directors to the board, resulting in an increase in gender diversity from **14% to 38%** and an increase in individuals from underrepresented communities from **0% to 25%**

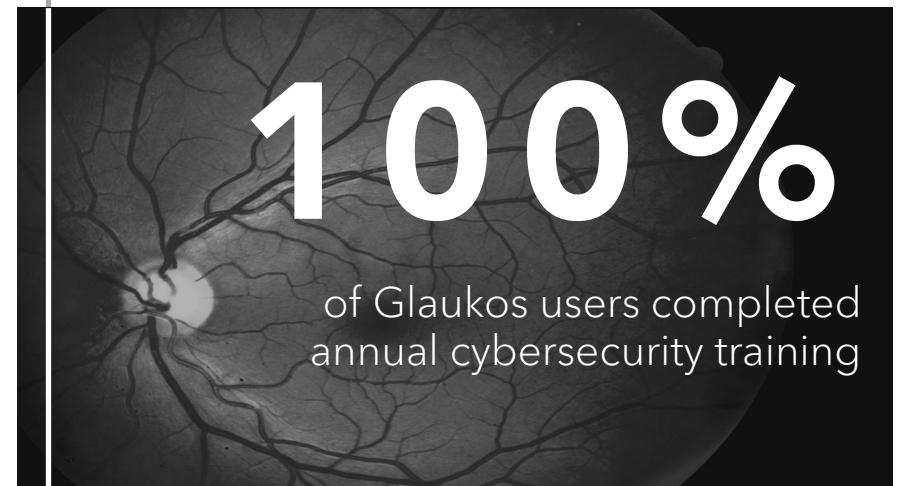


Successful IP Resolution

Settled patent litigation, resulting in **\$60 million** to Glaukos plus royalties and protection of our intellectual property



- Product recalls
- Fatalities related to products
- Products on the FDA's MedWatch Safety Alerts



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OUR STORY

Our mission at Glaukos is to truly transform vision by pioneering novel, dropless platforms that can meaningfully advance the standard of care and improve outcomes for patients suffering from sight-threatening chronic eye diseases. Our mantra "We'll Go First" embodies our commitment and determination to take chances, push the limits of science, and disrupt the legacy treatment paradigms in our three key targeted patient populations: glaucoma,

corneal disorders, and retinal diseases. Our strong foundation and talented team give us confidence in our continued ability to execute our long-term strategy and advance our mission for the benefit of patients worldwide.

GRI 102-3; GRI 102-4; 102-5; 102-6



OUR STORY

TARGETED PATIENT POPULATIONS

GRI 102-2

We are focused on addressing unmet clinical needs of large and underserved patient populations suffering from glaucoma, corneal disorders, and retinal disease.



GLAUCOMA

Glaucoma is a group of eye diseases characterized by progressive, irreversible, and largely asymptomatic vision loss in which elevated levels of intraocular pressure (IOP) are often associated with optic nerve damage that can cause blindness.

Elevated IOP occurs when aqueous humor is not circulating normally or properly draining from the front part of the eye, called the anterior chamber.

There is no cure for glaucoma, and controlling IOP is the only known treatment. In fact, landmark clinical studies have confirmed that low IOP is associated with reduced progression of optic nerve damage and visual field defect.

[According to the Centers for Disease Control and Prevention](#), about three million Americans have glaucoma, and it is the second leading cause of blindness worldwide.

CORNEAL DISORDERS

The cornea, the eye's outermost layer, is a clear, dome-shaped surface that functions best as a lens when it is strong and shaped properly. The cornea is responsible for the majority of the eye's total focusing power, and corneal disorders, including ectasia, refractive

vision errors, and dry eye, among others, can cause vision impairment.

Corneal ectatic disorders are a class of diseases characterized by an ectatic, or misshaped, cornea. This is typically caused by a weaken-

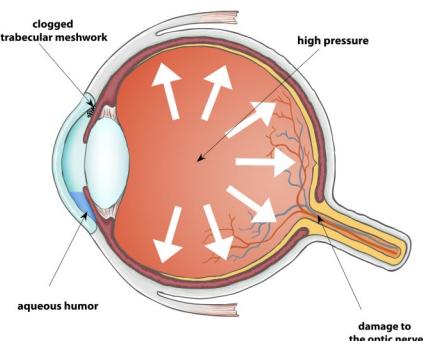
Without effective treatment,

1 in 5

progressive keratoconus patients may require a corneal transplant. [Studies](#) suggest that

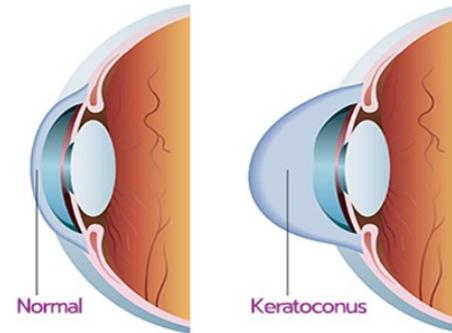
72% & 98%

of corneal transplants fail within 20 years and at 30 years, respectively.



Glaucoma is a group of eye diseases characterized by progressive, irreversible and largely asymptomatic vision loss.

Elevated levels of intraocular pressure (IOP) are often associated with optic nerve damage that can cause blindness.



Keratoconus is a type of corneal ectasia characterized by corneal thinning and bulging.

According to John Hopkins, keratoconus occurs in approximately one in every 2,000 people.

OUR STORY

TARGETED PATIENT POPULATIONS

ing of the cornea due to genetic causes, adverse side effects from ophthalmic refractive procedures such as LASIK, excessive eye rubbing, or other factors.

Keratoconus is a type of corneal ectasia characterized by corneal thinning and bulging. [According to Johns Hopkins Medicine](#), keratoconus occurs in approximately one in every 2,000 people.

Keratoconus is a serious, sight-threatening disease and the leading cause of full thickness corneal transplants in the U.S. Sadly, as the disease onset is often diagnosed in teenage years, keratoconus patients may require multiple transplants over their lifetime. Keratoconus remains vastly under-treated due primarily to under-diagnosis and the historical lack of an effective solution.

RETINAL DISEASES

Retinal diseases vary widely but universally affect the retina, a thin layer of tissue inside the back wall of the eye containing light-sensitive

cells that convert light into neural signals. Most retinal diseases cause visual impairment, including blurred or distorted vision and vision loss.

Age-related macular degeneration (AMD) is a progressive disease that occurs when the macula, the central portion of the retina, is impaired, which can result in severe vision problems.

Diabetic macular edema (DME) is highly prevalent among individuals with type 2 diabetes and is associated with diabetic retinopathy (DR), the impairment of small blood vessels in the retina caused by increased glucose levels. Advanced DR can lead to fluid leaking into the macula, which causes DME and severe vision impairment. Retinal vein occlusion (RVO) occurs when the flow of blood from the retina is blocked, often due to a blood clot blocking the retinal vein, which can result in severe vision problems.

Approximately
28 million

people in the U.S. suffer from some type of retinal disease or condition, according to Market Scope.¹



1 Market Scope 2019 Retinal Pharmaceuticals Market Report.

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OUR STORY

OUR NOVEL PLATFORMS

GRI 102-2

Our five novel platforms are designed to generate a cascade of therapies that address significant unmet clinical needs across glaucoma, corneal disorders and retinal disease.

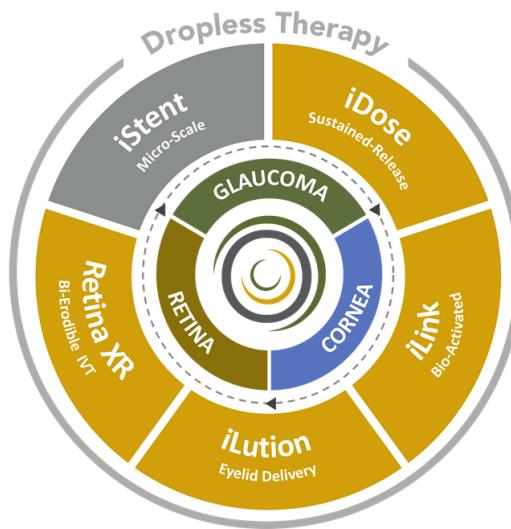
We are currently advancing multiple pipeline programs, including 16 publicly disclosed, which represents a four-fold increase vs. our disclosed pipeline program count (four) in 2015. We expect at least six of our current disclosed pipeline programs to achieve key regulatory milestones in 2022.

Our platforms embody ambitious, big ideas that challenge conventional thinking and strive to overcome the shortcomings of traditional treatment paradigms. For example, we are working to disrupt conventional topical eye drop therapies. Topical therapies are a

mainstay of treatment for a range of ophthalmic diseases and disorders and can be effective when administered properly. However, complex dosing regimens, forgetfulness, and instillation challenges create high levels of patient non-adherence to topical eye drops. In addition, many patients who use topical eye drops experience side effects such as hyperemia, hyperchromia, periorbital fat atrophy, and conjunctival changes, as well as preservative toxicities - problems that can exacerbate underlying ocular surface diseases. We believe patients deserve a better approach.



Through our platforms, we are working to disrupt conventional topical eye drop therapies through dropless alternatives that will offer important benefits to patients and physicians.



Our five key technology platforms are designed to generate a cascade of therapies that address significant unmet clinical needs. They are:

- 1 *iStent*[®] micro-scale surgical devices
- 2 *iDose*[®] sustained-release pharmaceuticals
- 3 *iLink*[™] bio-activated pharmaceuticals
- 4 *iLution*[™] transdermal, sustained-release pharmaceuticals
- 5 *Retina XR*[™] bio-erodible, sustained-release pharmaceuticals

■ Pharmaceuticals ■ Surgical Devices

OUR STORY

OUR NOVEL PLATFORMS

iSTENT PLATFORM

Through our foundational *iStent* micro-surgical platform, we are pioneering a new treatment for glaucoma – Micro-Invasive Glaucoma Surgery (MIGS). This platform includes an array of devices designed to reduce IOP by restoring the natural aqueous humor outflow pathways for patients suffering from glaucoma.

We believe our *iStent* portfolio is the industry's most comprehensive offering of minimally invasive, tissue-sparing glaucoma solutions. It is designed to provide a full range of options to fit surgeons' individual treatment algorithms for every stage of disease progression, from ocular hypertension through refrac-

tory disease, and in both combo-cataract and standalone procedures.

We have three commercialized products that treat the most common form of glaucoma (called open-angle glaucoma) – the *iStent*®, *iStent inject*®, and *iStent inject*® W. These trabecular micro-bypass stents are inserted through a small corneal incision made during cataract surgery, improving aqueous humor outflow and lowering IOP. Our *iStents* remain the smallest devices approved by the U.S. FDA. Learn more about the *iStent inject* W [here](#).

iDOSE PLATFORM

Our *iDose* sustained-release pharmaceutical platform features injectable implants de-

signed to deliver therapeutic levels of glaucoma medication from within the eye for extended periods of time.

Our *iDose* platform technologies are designed to address ubiquitous patient non-adherence and chronic side effects associated with topical glaucoma medications **by providing 24/7, long-duration, robust efficacy with minimal side effects.**

The *iDose TR*® is our first investigational candidate associated with this platform. It elutes travoprost, a commonly prescribed prosta-



“*I was aware of other patients having *iStent inject* W and seeing the relief they had from the procedure inspired me. Most of them aren't using drops or have reduced the amount of drops they were using. Between their experiences and my own, I've been encouraging my patients to consider *iStent inject* W because it was such a relief for me.”*

DR. DAVID KORDISH, iSTENT INJECT® W PATIENT AND OPTOMETRIST, WASHINGTON

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iSTENT STATISTICS

20+

Years of clinical experience

200+

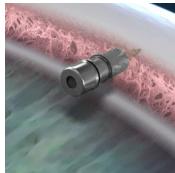
Peer-reviewed publications on *iStent* technology

~1 Million

iStent devices implanted worldwide

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OUR NOVEL PLATFORMS



iDose TR anchors to the sclera, where it elutes travoprost, a commonly prescribed glaucoma medication. Its dimensions and insertion method are similar to the iStent.

glandin analogue (PGA). Our Phase 3 clinical program for *iDose TR* was fully enrolled in June 2021, and we are targeting New Drug Approval (NDA) submission in 2022, with projected U.S. FDA approval in 2023.

Given our development success to date with *iDose TR*, we continue to invest resources to expand our pharmaceutical development capabilities and develop future *iDose* solutions. These pre-clinical programs include *iDose TREX®*, a next-generation extended-release implant, which is similar in size and form factor to the original *iDose TR* and designed to provide nearly twice the drug capacity to extend efficacy durations.

We are also evaluating additional drug classes such as ROCK inhibitors where we have seen encouraging rabbit model data and are establishing prototype implants for lead candidates.

iLINK PLATFORM

Our *iLink* bio-activated pharmaceutical platform consists of novel single-use drug formulations and proprietary systems that deliver

ultraviolet light to the cornea. The drug/light combination induces a biochemical reaction called corneal cross-linking (CXL), designed to strengthen, stabilize, and reshape the cornea.

Our first-generation *iLink* therapy, known as *iLink Epi-off*, uses a novel drug formulation called Photrexa for the treatment of keratoconus.

This therapy is supported by over 200 peer-reviewed publications and has shown excellent long-term efficacy and safety outcomes with extensive clinical evidence and long-term (10-year) follow-up.

We are also advancing our next-generation *iLink* therapy, known as *Epi-on*, which is designed to reduce procedure times, improve patient comfort, and shorten recovery time. We anticipate *iLink Epi-on*, if



“I found great comfort knowing there was a procedure that would slow or halt the progression of my son's keratoconus. I was able to view the procedure in a screening room and it was amazing to see the process and know my son was in good hands. I would absolutely recommend this procedure to other parents looking to help their children with progressive keratoconus.”

ABBY JAHNIGEN, MOTHER OF iLINK PATIENT LOUIS JAHNIGEN, OHIO

Read more about [Louis' Journey](#)

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approved, will be the first U.S. FDA-approved, non-invasive CXL therapy that does not require removal of the epithelium, the outermost layer of the eye. The *Epi-on* Phase 3 trial



Our iLink Epi-off is the only FDA-approved therapy proven to slow or halt keratoconus progression.

results are expected to support Glaukos' U.S. NDA submission in 2022, and we are targeting U.S. FDA approval for *Epi-on* in 2023.

iLUTION PLATFORM

Our *iLution* transdermal pharmaceutical platform consists of patented, cream-based drug formulations that are applied to the outer surface of the eyelid, allowing the drug to be delivered through the dermis to the eye.

We believe *iLution's* differentiated delivery approach may offer significant advantages over traditional topical drops, including the potential for easier administration, faster onset of action, and fewer side effects, all of which can contribute to better compliance and improved patient outcomes.

We have four *iLution* programs in various stages of clinical and pre-clinical development, including:

- GLK-301 is a sterile ophthalmic topical cream to be applied to the eyelids for the treatment of signs and symptoms of dry eye disease.
- GLK-302 is a sterile ophthalmic topical cream to be applied to the eyelid for the treatment of presbyopia.
- *iLution* Blepharitis is our pre-clinical program investigating pharmaceutical compounds that are designed to target the eradication of Demodex mites, which are the root cause of Demodex blepharitis and often associated with meibomian gland dysfunction and related ophthalmic diseases.
- GLK-311 is our preclinical program investigating pharmaceutical compounds that are designed for the treatment of anterior segment diseases, such as glaucoma.

RETINA XR PLATFORM

Our bio-erodible, sustained-release pharmaceutical platform, known as *Retina XR*, includes multiple micro-invasive, bio-erodible drug delivery programs designed to treat age-related macular degeneration (AMD), diabetic macular edema (DME), and other retinal diseases.

Our two primary sustained-release development projects in our *Retina XR* platform include:

- GLK-401: a bio-erodible sustained release

implant targeting AMD, DME, and retinal vein occlusion (RVO).

- GLK-411: a bio-erodible sustained release implant targeting DME.

The goal of these pre-clinical programs is to provide retinal specialists and their patients with novel sustained pharmaceutical treatment options that offer a meaningfully longer duration-of-effect than the current standard of care, which is dominated by short-lasting biological injections that often impose tremendous treatment burdens on patients due to the high frequency of required treatments.

More information about our novel platforms is available in our [Quarterly Summary](#).

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SUSTAINABILITY PROGRAM

We continuously review our sustainability and ESG program and policies throughout the year. In 2021, we focused on peer benchmarking, gap analysis, engaging with stakeholders, capitalizing on opportunities, and increasing our disclosure. Additionally, every board member as well as certain members of senior manage-

ment received sustainability and ESG updates through our corporate membership with the National Association of Corporate Directors.

GRI 102-18; GRI 102-19; GRI 102-20; GRI 102-47

SUSTAINABILITY GOVERNANCE

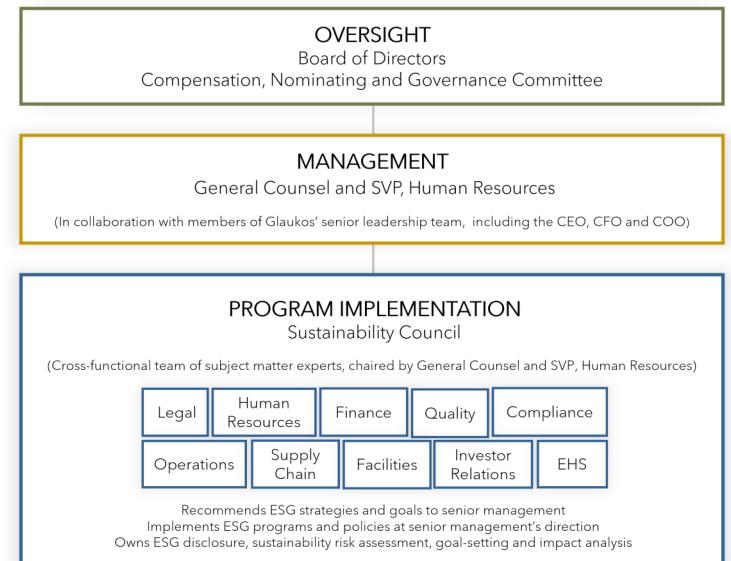
We are diligent in ensuring proper oversight of our sustainability program. Our Board of Directors oversees the adoption and implementation of our ESG initiatives. The Board's Compensation, Nominating, and Governance Committee updated its Committee Charter on December 17, 2020, to formalize its responsibility for oversight of ESG matters. The Committee receives quarterly updates on ESG progress and reports the information to the full Board. Please visit the [Compensation, Nominating, and Governance Committee Charter](#) and our Proxy Statement for more information.

"The Committee shall periodically review the Company's environmental and social responsibility policies and practices, as well as the Company's public reporting on these topics...includ[ing] periodic review of the Company's human capital management policies, program and initiatives consisting of, among other things, the Company's demographics, talent development, employee retention and employee compensation...[as well as] the Company's employee diversity and inclusion recruitment, retention and compensation efforts, and shall assist management with implementation of its diversity strategy."

SECTION 19 OF THE COMPENSATION, NOMINATING AND GOVERNANCE COMMITTEE CHARTER

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SUSTAINABILITY GOVERNANCE STRUCTURE



SUSTAINABILITY PROGRAM

PROGRAM DESIGN

SUSTAINABILITY COUNCIL

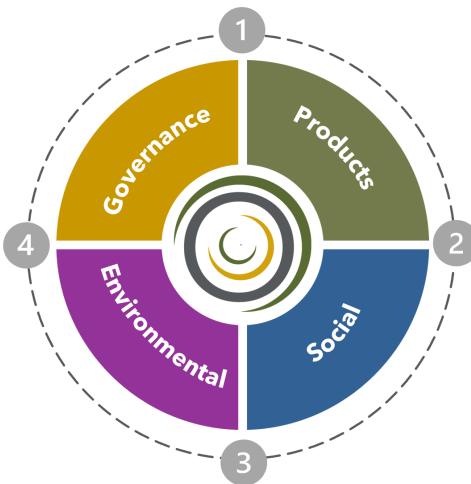
In addition to Board-level ESG oversight, we formed the Glaukos Sustainability Council in late 2020, a task force of cross-functional subject matter experts, to lead the formula-

tion and implementation of ESG policies and programs under management's direction.

The Sustainability Council's first undertaking was to research and evaluate the various ESG topics to prioritize Glaukos' ESG goal-setting process and disclosure framework.

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TOPIC PRIORITIZATION PROCESS



1 Identified 39 total topics

Reviewed 20 varied sources to identify universe of potential topics

2 Refined to 23 topics

Conducted enterprise risk assessment to continue refining topic list; used 23 of these topics as subjects of stakeholder surveys and other analysis

3 Evaluated internal sources

Reviewed multiple internal sources (management and employee surveys, strategic plan, foundation-related strategy document, etc.) and continued to narrow list to focus on topics with greatest potential impact on Glaukos' business success

4 Evaluated external sources

Analyzed customer perspective research, investor engagement feedback, analyst prioritization, and peer topic benchmarking to identify 10 Tier 1 material topics

23 TOPICS SURVEYED AND ANALYZED

Governance	Product	Social	Environmental
<ul style="list-style-type: none"> • Climate Strategy • Cybersecurity and Data Privacy • Ethics and Compliance • Executive Compensation • Geopolitical Disruption • Political Participation and Advocacy • Protection of Intellectual Property • Responsible Procurement Practices • Risk Oversight • Transparent Communications and Reporting 	<ul style="list-style-type: none"> • Access, Affordability, and Pricing • Product Innovation • Product Quality and Patient Safety • Transition from Research to Practice 	<ul style="list-style-type: none"> • Diversity and Inclusion • Human Rights • Philanthropy and Volunteerism • Talent Attraction, Development, Engagement, and Retention • Workforce Health and Safety 	<ul style="list-style-type: none"> • Energy and Emissions • Sustainable Product Design and Packaging • Waste • Water

SUSTAINABILITY PROGRAM

PROGRAM DESIGN

TOPIC PRIORITIZATION

In early 2021, we identified 10 “Tier 1” topics, which we consider the most important to stakeholders. These topics, which have the highest potential impact on Glaukos’ business success, are the focus of our ESG management, goal setting, and reporting.

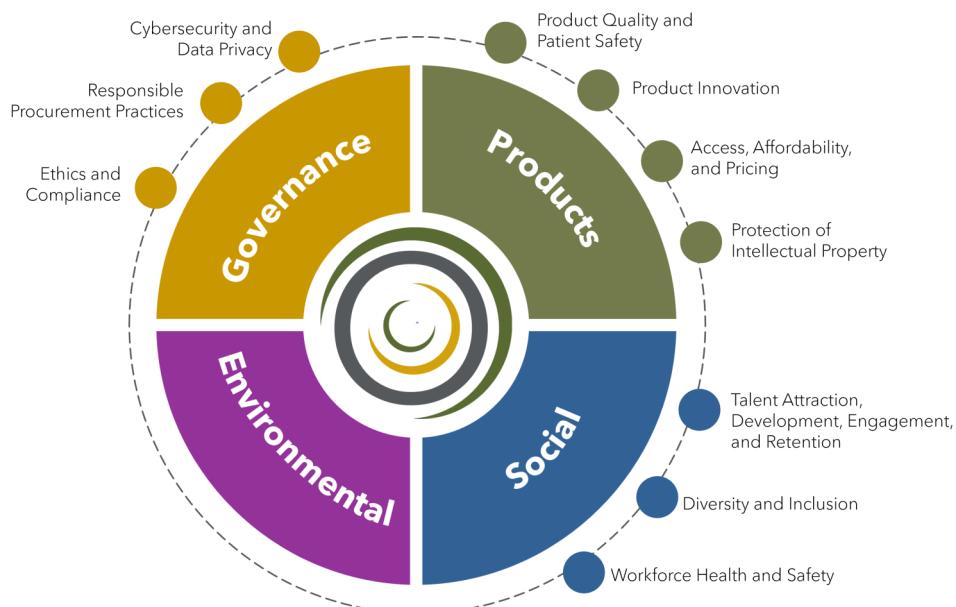
While we consider each topic to be important to our success, it is imperative that we allocate resources to those topics that will have the most impact on Glaukos’ business and that are viewed as the most critical by our stake-

holders. Although none of our Tier 1 topics fall into the Environmental category¹, we will continue to report on environmental matters. It is important that we maintain public accountability for our energy and water use, waste creation and disposal, and climate impact and strategy.

EVALUATION AND GOAL SETTING

After identifying our Tier 1 topics, we assigned responsibility for each topic to the most relevant member of the Sustainability

TIER 1 TOPICS BY CATEGORY¹



¹ We believe that no Environmental topics fell into Tier 1 for a few key reasons: a) our environmental footprint is, and always has been, minimal; b) we do not create significant levels of waste, including hazardous waste; c) because environmental consciousness has been considered from our inception, and many of our stakeholders see room for more substantial improvements in other ESG areas.

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Council, based on their role and responsibilities. For example, our Senior Vice President, Human Resources, is the topic owner of Diversity and Inclusion. The topic owners assume responsibility for reviewing our management approach for each Tier 1 topic and identifying improvement opportunities. At the end of each calendar year we hold Sustainability Council meetings to propose, discuss, and set new goals. Topic owners review the SMART (Specific, Measurable, Achievable, Relevant, and Time-bound) goal criteria to prepare for our annual goal-setting workshop. During the workshop, we create draft goals for each topic area.

Once the Council agrees on the updated goals, the Sustainability Committee co-chairs present the draft goals to senior management for final approval. We continue our regular Sustainability Council meetings throughout the year to support and review progress toward our goals. Our goals include annual and time-bound goals. The goals for each Tier 1 topic are set forth on the next page. We report annually on our progress toward these goals. The goals may be adjusted or expanded as we continue to refine our ESG program. This report reviews Glaukos’ Tier 1 ESG topics, how we manage them, and the steps Glaukos plans to take to demonstrate continuous improvement. The topics have been grouped by category – Governance, Product, Social, and Environmental.

SUSTAINABILITY PROGRAM

PROGRAM DESIGN

TOPIC	GOALS/KEY PERFORMANCE INDICATORS (KPI) SET IN 2022 ¹	
GOVERNANCE		
Ethics and Compliance	Completion of anti-bribery/anti-corruption training by 100% of new or renewing third-party distributors Annual certification of Code of Conduct by 100% of employees	
Responsible Procurement Practices	In 2023, reduce percentage of product transported via air by developing 2 nd site distribution center (2021 as baseline) In 2022, incorporate standards into 100% of new and renewing supplier agreements	
Cybersecurity and Data Privacy	By 2025, formally track alignment of the information security program to relevant components of the NIST security framework based upon the risk to Glaukos and industry best practices	
PRODUCTS		
Product Quality and Patient Safety	Zero product recalls	
Product Innovation	FDA submission of pipeline technologies that would allow us to meet our publicly stated targets for FDA approvals	
Access, Affordability, and Pricing	Increase communication and education efforts around Glaukos' Patient Assistant Program in the US., as well as donations of our products to underserved patients globally	
Protection of Intellectual Property	Annual review of existing IP rights and IP strategy	
SOCIAL		
Talent Attraction, Development, Engagement, and Retention	Based on the 2022 Great Places to Work engagement survey results, identify areas of opportunity; communicate and measure progress against improvement areas in 2023 Implement flexible work arrangements in 2022	
Diversity and Inclusion	As led by DEI forum, identify and implement at least two company-wide initiatives and success measures that will expand Glaukos' approach to diversity, equity and inclusion by 2024	
Workplace Health and Safety	Conduct an annual health and safety risk assessment and implement at least one new initiative annually to mitigate the top identified risk	
ENVIRONMENTAL		
	Expand ISO 14001 Certification to Burlington site by 2024 Create greenhouse gas (GHG) inventory for Scope 1 and 2 GHG emissions data by 2023	

¹ Where no year is mentioned, the goal is an annual goal to be pursued ad infinitum.

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GOVERNANCE

Glaukos is committed to responsible management of our business. Proper governance ensures that we are operating in a manner to ensure long-term business success.


● = Completed ● = Partially Completed

Topic	Goals Set in 2021	YE 2021 Status	Goals Set in 2022
Ethics and Compliance	Completion of anti-bribery/anti-corruption training by 100% of new or renewing third-party distributors	●	Completion of anti-bribery/anti-corruption training by 100% of new or renewing third-party distributors
	Annual certification of Code of Conduct by 100% of employees	●	Annual certification of Code of Conduct by 100% of employees
Responsible Procurement Practices	In 2021, adopt supplier ESG responsibility standards	●	In 2023, reduce percentage of product transported via air by developing 2 nd site distribution center (2021 as baseline)
	In 2022, incorporate standards into 100% of new and renewing supplier agreements	●	In 2022, incorporate standards into 100% of new and renewing supplier agreements
Cybersecurity and Data Privacy	100% of users complete annual cybersecurity training	●	By 2025, formally track alignment of the information security program to relevant components of the NIST security framework based upon the risk to Glaukos and industry best practices

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GRI 103-1; GRI 103-2; GRI 103-3; GRI 102-16; GRI 102-17; SASB HC-BP-510a.2; SASB HC-MS-510a.2

Glaukos seeks to foster a workplace culture that values integrity and ethical conduct to ensure that we are respected and trusted by our customers, peers, current and prospective employees, and investors. By conducting ourselves in a compliant and ethical manner, Glaukos can increase the trust and goodwill of our stakeholders, create a working environment in which employees are engaged and proud to work for us, avoid the cost and time required to address problems arising from non-compliance, and ensure that our team can remain focused on creating transformational products.

DEFINITION

Ensuring training and policies are in place to promote ethical behavior, including compliance with all relevant laws and regulations.

MANAGEMENT APPROACH

Acting in an ethical and compliant manner, both with respect to internal policies and external laws, regulations, and guidelines,

drives every decision we make. Glaukos policies are intended to help our employees understand the importance of acting ethically to uphold our reputation of respect, trust, confidence, and integrity.

Our policies communicate that a culture of integrity is an asset and non-compliance with our [Code of Business Conduct and Ethics](#) poses a significant financial and reputational risk.

We implemented the Glaukos Compliance and Ethics Program to help us comply with state, federal, and international regulations and to provide guidance on interactions with health care professionals and governmental entities. The Program also helps us manage compliance-related risks. The Compliance and Ethics Program is led by the Company's Compliance Officer, who reports to the Audit Committee of our Board of Directors on a quarterly basis. The Compliance Officer also chairs the Glaukos Compliance Committee, comprised of senior representatives from Legal, Operations, Finance, Human Re-

sources, and Internal Audit. The Compliance Committee advises and assists with the implementation of the Compliance and Ethics Program.

The Compliance Program is led by the company's Compliance Officer, who reports directly to the Audit Committee of our Board of Directors on a quarterly basis.

As part of the Compliance and Ethics Program, Glaukos adopted policies and procedures which serve as written standards of conduct for our employees. These policies include, among others, our Code of Business Conduct and Ethics, our U.S. Foreign Corrupt Practices Act (FCPA)/Anti-Bribery Policy, our State and Local Compliance Registration and Reporting Policy, our International Transparency Reporting Requirements Policy, and our

“I continue to be amazed every day with the high level of integrity shown by each member of the Glaukos team – they are an outstanding company!”

PARTICIPANT IN GLAUKOS 2021 ETHICS AND COMPLIANCE SURVEY

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[Insider Trading and Tipping Policy](#). Our Anti-Bribery Policy defines corruption and prohibits the making of bribes or facilitation payments. These policies and procedures are reviewed and updated regularly.

The Compliance and Ethics Program also defines our efforts to monitor and evaluate compliance with our policies and procedures, including efforts to monitor the activities of our sales force and marketing personnel. The nature of our reviews as well as the extent and frequency of our compliance monitoring vary according to factors such as new regulatory requirements, changes in business practices, and other risk considerations. In 2021, our compliance and internal audit teams reviewed the Company's practices, as compared to policy, regarding health care provider meal expenses, physician consulting payments, physician consultant needs assessments, speaker programs, and research grants. We also monitor all reports of non-compliance made to our employee hotline.

As part of the Compliance and Ethics Program, we developed disciplinary action

guidelines to follow when an employee violates internal policy or external regulation. We also assess any violation to determine if it could be a result of gaps in our policies, practices, or internal controls and make internal adjustments to prevent future violations. Our disciplinary guidelines are intended to help us maintain a consistent approach to disciplinary actions, which can be as severe as termination.

In 2020, we performed a robust gap assessment to identify areas to enhance and develop our Compliance Program. We incorporated the identified areas into a 2021 Compliance Plan designed to further mature and enhance the integrity and compliance of our Company. As part of our Compliance Plan, in 2021 we implemented several new policies and procedures, developed an intranet presence for our Compliance function, conducted a Company-wide ethics and compliance survey, formed a distributor management committee, began implementation of a new transparency reporting and physician engagement system, and adopted a written charter for our Compliance Committee.

Our Code of Business Conduct and Ethics has been translated into a number of local languages for our international employees and covers a number of critical topics, including:

- Reporting Violations of the Code
- Policy Against Retaliation
- Conflicts of Interest
- Confidential Information Handling
- Competition and Fair Dealing
- Appropriate Business Practices Relating to Gifts and Entertainment
- Handling of Company Records
- Protection and Use of Company Assets
- Compliance with Laws and Regulations
- Maintaining the Health and Safety of the Company's Environment and Workforce

TRAINING

Glaukos conducts in-person and online training on our policies and procedures, including ethical interactions with healthcare professionals, transparency reporting, and anti-corruption. We update our training programs based upon monitoring and investigation findings. This training includes Company personnel and certain third-party business partners, such as distributors and logistics providers.

ANTI-CORRUPTION TRAINING

Completed by
100%
of new or renewing third-party distributors.

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HEALTH CARE PROFESSIONAL INTERACTIONS

At Glaukos, we recognize that interacting with health care professionals is essential to develop innovative products and provide vital education and training on our ophthalmic treatments and therapies. Our interactions with health care professionals must comply with state and federal laws and regulations and satisfy ethical standards appropriate for our industry. We must also fulfill required transparency reporting related to those dealings.

The Company adopted policies and procedures intended to set rules regarding our interactions with health care professionals and establish the process for reporting payments and other transfers of value in the jurisdictions in which it is mandated, including our Code of Ethics on Interactions with U.S. Health Care Professionals, our State and Local Compliance Registration and Reporting Policy, and our International Transparency Reporting Requirements Policy. Engagement with health care providers is an important part of our business, so that we may convey vital information regarding our products and the diseases they are intended to treat or so that we can gain and share knowledge from their expertise and experience. These policies provide our employees with guidance on how we can engage with health care providers responsibly, avoiding any improper influence over a health care provider's independent medical judgment.

THIRD-PARTY DISTRIBUTORS

Glaukos engages third-party distributors to sell our products in countries where we do not have direct presence or personnel. These distributors represent Glaukos when selling our products. We rely on them to uphold the ethical standards to which we hold ourselves when interacting with customers. We perform due diligence on all new and renewing distributors and pursue enhanced inquiries on a risk-based model that considers the

corruption perception index of the country in which the distributor is selling our products. When entering into written contracts with distributors, both parties agree to comply with laws, including anti-corruption and export laws. We also assign online, interactive training on anti-bribery and anti-corruption to all our third-party distributors.

MARKETING PRACTICES

Glaukos adopted policies designed to ensure our marketing materials and practices are truthful, on-label, and not misleading. Appropriate personnel, including sales and reimbursement, receive training regarding on-label marketing. We also provide training to those who speak on our behalf, such as health care professionals. Written marketing materials are approved by a cross-functional legal and regulatory team to ensure the product information provided is consistent with approved indications and available clinical data.

REPORTING HOTLINE

Glaukos encourages communication regarding suspected violations of Company policy or law. The Company established an anonymous reporting hotline accessible 24/7 via the web or a toll-free number. The [hotline](#) is available on our [website](#) to all employees, investors, and other interested parties globally in several local languages, and can be found [here](#). Employees receive email reminders about this hotline semi-annually. We receive and track all calls to our ethical reporting hotline and investigate appropriately. We expect employees to report suspected violations to their supervisor, Human Resources, or the Compliance Officer. Our Code of Conduct explicitly prohibits any form of retaliation against an employee who in good faith reports suspected misconduct.

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PROGRESS TOWARD OUR GOALS

In 2021, we reached our goal of 100 percent completion of anti-bribery/anti-corruption training by all 15 of our new or renewing third-party distributors. We strive to reach this goal again in 2022 because it allows us to emphasize to key supply chain partners our requirement that they do business in a legal and ethical manner. It also better ensures continued access to the key materials that drive our products.

We also reached our goal of annual certification of our Code of Conduct by 681 employees, which constitutes 100 percent of our active employees as of September 14, 2021 who did not subsequently separate from the Company. The certification ensures that our personnel understand the expectations set forth in our Code of Conduct and encourages our employees to partner with the organization to manage our institutional ethics goals. We will once again require certification of our Code of Conduct by all employees in 2022.

In the fourth quarter of 2021, we conducted a company-wide ethics and compliance survey. This survey was designed to document the opinions and attitudes of our employees with respect to Glaukos' ethics, compliance, and integrity.

Based upon our belief that operating in an ethical and compliant manner is vital to a successful organization, the results of the survey will be used to gauge where we are currently as a company and where we have opportunities to grow and develop in these areas.

The survey was conducted by a third party, and the responses were completely anonymous. Approximately 361, or approximately 50 percent, of our employees participated in the survey. The results demonstrated a strong

culture of compliance and ethical environment within Glaukos and provided feedback on opportunities to streamline certain compliance processes, ensure training is job-focused, and provide managers with the appropriate tools to handle compliance questions and concerns. Below are highlights of the results:

My direct manager respects his/her employees. **91%**

Global Benchmark: 86%

I understand my company's code and standards of business conduct. **91%**

Global Benchmark: 93%

My team members are honest. **90%**

Senior leaders at my company are honest. **87%**

Global Benchmark: 75%

“ “I am very pleased with the way this company holds its employees and itself to high standards.”

PARTICIPANT IN GLAUKOS 2021 ETHICS AND COMPLIANCE SURVEY

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RESPONSIBLE PROCUREMENT PRACTICES

GRI 102-9; GRI 103-1; GRI 103-2; GRI 103-3; GRI 308-1; GRI 414-1; SASB HC-BP-430a.1; SASB HC-MS-430a.1; SASB HC-MS-430a.2; SASB HC-MS-430a.3

Glaukos' delivery of vision-saving products to patients depends on our ability to source the materials used to manufacture our products in a responsible and sustainable manner.

DEFINITION

Providing policies for and assessing and monitoring Glaukos' suppliers for sustainable practices including labor practices, such as human rights, fair treatment, child labor, and safe working conditions. Making sure that the products and services procured are sustainable, with low environmental impact and positive social results.

MANAGEMENT APPROACH

Our Legal and Supply Chain teams collaborate to manage our responsible procurement practices. The Legal team is responsible for monitoring compliance to align our practices with laws and regulations. The Supply Chain

and Supplier Quality teams lead supplier engagement efforts through managing primary supplier touchpoints. We use a consistent high-level strategy to manage all our sites, but there are tactical differences based on regional variability.

As a pioneer of ophthalmic devices and pharmaceuticals, Glaukos creates unique products, often micro-scale. There are limited companies that can meet our technically challenging supply requirements; we are sometimes tasked with teaching suppliers how to manufacture our products properly. We do some manufacturing in-house at our Glaukos manufacturing facilities, which maintain International Organization for Standardization ISO 13485 and ISO 14001 certifications. We outsource other aspects of our manufacturing to third-party manufacturers, all of which must be highly capable.

As a rapidly growing company, we are constantly evaluating our internal manufacturing capacity against our development pipeline's long-range sales forecast and cadence of new products. We do this to prepare for the regulatory process for securing FDA site approvals. The evaluation includes analyzing which manufacturing processes we would like to keep in-sourced as core competencies and which we would be willing to outsource to third-party manufacturers.

Glaukos applies a risk-based approach to managing critical materials by strategically storing specific work-in-progress inventory with suppliers and onsite at Glaukos facilities. We also utilize a two-site model for finished goods inventory by storing a portion of it onsite at Glaukos and the remainder with warehousing or distributors. We set quantity and quality targets and metrics around each location where our materials are housed to minimize risk. We follow our Quality Procedures to qualify additional distributors and govern our business relationships.

We also manage critical materials by secondary sourcing as needed. FedEx is our preferred logistics provider. We renegotiate our logistics contract annually and evaluate additional external bids regularly. In order to reduce costs and emissions, we collaborated with FedEx to develop a two-site distribution model to maximize two-day ground shipments and to reduce air shipments. We are currently using our enterprise resource man-

OUR CRITICAL SUPPLIERS



This results in slightly higher manufacturing costs, but also contributes to increased sustainability throughout the manufacturing process and decreases our procurement partners' risk of irresponsible manufacturing

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RESPONSIBLE PROCUREMENT PRACTICES

agement system, Oracle, to develop electronic data exchanges for the second distribution site and plan to begin shifting volume to the second site in 2023.

As part of our Quality Procedures, we conduct a risk assessment on all Glaukos suppliers, that takes into account what they supply to Glaukos and the potential impact on our products or services. All Glaukos suppliers are assigned a risk level based on the risk assessment, with Risk Level 1 being our key suppliers.

Our standard practice is to enter into quality agreements with all significant suppliers. These quality agreements describe the obligations and responsibilities of the parties to ensure our products are manufactured, stored, and transported in a compliant and safe manner. In 2022, we plan to update the quality agreements to strengthen the language and emphasize ESG-related topics. Further, we conduct due diligence on any potential Risk Level 1 Suppliers to ensure their processes and output meet our high standards.

Our Quality Team is also responsible for preparing and enforcing the audit schedule. We now use Oracle to manage our audit schedule and data. We perform audits of Risk Level 1 Suppliers annually and Level 2 suppliers intermittently. During the audits, we aim to identify how our suppliers are performing against ISO

standards. We use this information to confirm that our suppliers meet our standards and address potential gaps and opportunities for improvement.

As a medical device manufacturer, we must trace our device products from the earliest manufacturing phases. We follow products from individual product components to distribution. We maintain a well-developed traceability process to ensure compliance with this obligation.

RESPONSIBLE SUPPLY CHAIN POLICIES

We value our relationships with our suppliers and are committed to conducting business with suppliers who act responsibly and ethically.

We adopted a [Supplier Code of Conduct](#) and a [Human and Workforce Rights Policy](#) that outline our expectations for ourselves and our partners.

Our Supplier Code of Conduct enables us to audit suppliers' operations and facilities to determine compliance with the code. If any supplier cannot demonstrate compliance, we consider terminating our agreement or taking other remedial action. Additionally, as stated in our [Conflict Minerals Report](#), we confirmed that the designated minerals used in our commercial materials and components are derived from smelters who either do not source minerals in the Democratic Republic of the Congo and neighboring countries or are con-

formant to the Responsible Minerals Assurance Process. We also published our [Transparency in Supply Chain](#) disclosure required by the California Transparency in Supply Chains Act of 2010 (SB 657).

In 2021, Glaukos began switching wooden pallets to plastic pallets to reduce risk, yield cost savings, and produce environmental benefits. In the past, wooden pallets have been linked to chemical contaminations leading to product recalls. While this has not happened to Glaukos, we are making the switch to mitigate future risk. Plastic

pallets are reusable, leading to waste reduction and cost savings associated with continually purchasing new wooden pallets. Plastic pallets also yield emissions reductions: using the EPA Waste Reduction Model (WARM), we determined that the switch from wooden to plastic pallets will save about 1.07 metric tons of carbon per month.



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RESPONSIBLE PROCUREMENT PRACTICES

Our Supplier Code of Conduct is provided to each of our commercial suppliers and affirms that we expect our suppliers to:

- Prohibit the use of all forms of forced or involuntary labor, slavery or human trafficking
- Adhere to minimum age provisions of applicable laws and regulations
- Compensate employees and operate in compliance with applicable wage, work hours, overtimes, and benefits laws and regulations
- Prohibit child labor
- Not engage in unlawful discrimination, harassment, or abuse of any kind
- Provide a safe, healthy, and sanitary work environment in compliance with applicable laws and regulations

PROGRESS TOWARD OUR GOALS

To date, much of our focus within our supply chain has been on our third-party suppliers' technical and quality capabilities. In 2020, we conducted our first annual human rights questionnaire. We requested that all glaucoma Risk Level 1 suppliers provide information on their labor practices, or comparable information, to fight human trafficking in our supply chain.

As we expanded our ESG focus, we established a goal to adopt supplier ESG responsi-

bility standards in 2021 and better communicate the expectations we have for each of our supplier partners. In 2021, we updated our supplier screening questionnaire for glaucoma Risk Level 1 suppliers to include ESG criteria, including management of hazardous chemicals, establishment of policies on ethics, healthy and safe workplaces, human rights, and conflict minerals, as well as establishment of environmental objectives.

We are utilizing the information we collected to establish a baseline for where our suppliers stand on ESG topics. Seventy-one percent of our glaucoma Risk Level 1 suppliers responded to the survey, and we will follow up with the remaining 29 percent in 2022. We will use the baseline responses to develop plans for further supplier engagement in ESG areas and work with them to improve their ESG programs. In 2022, we will begin using the updated questionnaire for corneal health Risk Level 1 suppliers.

Now that we have established the ESG standards, in 2022, we are targeting incorporating the standards into 100 percent of new and renewing supplier agreements, which will establish a contractual obligation for our suppliers to uphold the standards. We also strive to reduce the percentage of products transported via air to be more efficient and reduce emissions. We started developing a two-site distribution model to implement this goal.

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CYBERSECURITY AND DATA PRIVACY

GRI 103-1; GRI 103-2; GRI 103-3

To advance our reputation as a trusted partner in every aspect, Glaukos is committed to protecting our information assets as well as the privacy of employees, partners, customers, and patients.

DEFINITION

Protecting data and ensuring the privacy and security of corporate, employee, patient, customer, and supplier information.

MANAGEMENT APPROACH

It is imperative that we have strong cybersecurity and data privacy practices in place to protect our network and systems, as well as internal and customer data. Our cybersecurity team is a part of our Information Technology (IT) department. Our head of IT reports directly to the CFO, and provides periodic reports to the Audit Committee on cybersecurity policies, procedures, and risk and remediation efforts. Members of our IT department maintain various cybersecurity-related certifications including Certified Information Systems Security Professional (CISSP), Certified Information Security Manager (CISM), and Certified Data Privacy Solution Engineer (CDPSE). We also maintain our Written Incident Response and Security policies as well as our Disaster Recovery Plan to ensure we are protected and ready to respond should a security incident occur.

Glaukos applies a risk-based approach to enhance security and reduce risk in the Com-

pany's networks, systems, products, and information against evolving cyber threats. Glaukos' Security Program is structured around the industry standards for security, including the National Institute of Standards and Technology (NIST) and the International Organization for Standardization (ISO).

It is Glaukos' policy to protect the privacy of those who entrust us with their personal information. We collect and store only personal information necessary for a lawful purpose. Accordingly, we adopted a [Privacy Policy](#) that details how personal information is collected and stored, and what rights data subjects have with respect to such information. We are committed to fully complying with data processing requirements worldwide. This includes but is not limited to the E.U. General Data Protection Regulation 2016/679 and California Consumer Privacy Act (CCPA).

Glaukos' cybersecurity training and education emphasizes user awareness, focusing on phishing, malware, and security best practices. Glaukos conducts annual cybersecurity training for new and existing employees. We also conduct email phishing testing exercises to help employees identify and safeguard against phishing attacks that are routinely used by threat actors. In 2021, 100 percent of the employees who failed our phishing testing completed their assigned training. Information security training is adjusted to address deficiencies based on testing outcomes.

PROGRESS TOWARD OUR GOALS

In 2021, we achieved our goal to have 100 percent of users complete annual cybersecurity training. We aim to continue this training annually.

For 2022 and beyond, we aspire to further mature our cybersecurity program. We built our Security Program around NIST, but have not yet formally tracked our alignment. By 2025, we plan to formally track our alignment to ensure we are following industry best practices. We are implementing a multi-step process to achieve this goal.



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PRODUCTS

Glaukos is focused on creating safe, innovative, and affordable products to transform the treatment of chronic eye disease.



● = Completed ● = Partially Completed

Topic	Goals Set in 2021	YE 2021 Status	Goals Set in 2022
Product Quality and Patient Safety	Zero product recalls	●	Zero product recalls
Product Innovation	FDA submission of pipeline technologies that would allow us to meet our publicly stated targets for FDA approvals	●	FDA submission of pipeline technologies that would allow us to meet our publicly stated targets for FDA approvals
Access, Affordability, and Pricing	Provide product in support of underserved patient populations	●	Increase communication and education efforts around Glaukos' Patient Assistant Program in the U.S., as well as donations of our products to underserved patients globally
Protection of Intellectual Property	Annual review of existing IP rights and IP strategy	●	Annual review of existing IP rights and IP strategy

PRODUCTS

PRODUCT QUALITY AND PATIENT SAFETY

GRI 103-1; GRI 103-2; GRI 103-3; GRI 416-1; GRI 416-2; SASB HC-BP-250a.1; SASB HC-BP-250a.2; SASB HC-BP-250a.3; SASB HC-BP-250a.4; SASB HC-BP-250a.5; SASB HC-MS-250a.1; SASB HC-MS-250a.2; SASB HC-MS-250a.3; SASB HC-MS-250a.4; SASB HC-MS-410a.2

Glaukos is committed to developing and marketing safe, high-quality products for the treatment of glaucoma, corneal disorders, and retinal diseases. Effective treatment of chronic eye diseases hinges upon excellence in product design and development to ensure robust and reproducible manufacturing processes that enable exceptional patient outcomes and patient safety.

DEFINITION

Providing patients with safe, durable products that are controlled to meet high quality standards. Clearly and swiftly disclosing information on product recalls. Incorporating patient feedback into product innovation.

MANAGEMENT APPROACH

Glaukos assures excellence in product quality through our Quality Management System (QMS). Our QMS entails an effective and independent quality organizational structure, Quality Manual, policies, operational guidance documents, robust processes, and sufficient resources to deploy and oversee compliance to our QMS effectively. Our Quality Control teams closely monitor our suppliers, incoming materials, in-process manufacturing, and finished products to ensure released products meet all established quality and safety specifications. Our Quality Engineers work to ensure all design elements, supplier oversight, and software systems operate in a

state of control. Glaukos continues to invest in and grow our in-house analytical and microbiological laboratories and the automated technologies necessary to assure strong data integrity.

In 2021, Glaukos continued investing in our QMS, assessing the systems used across our sites, and moving forward in the next stage of integration. Glaukos is striving to optimize compliance efforts and align on a single, common platform across our sites for several QMS elements. Glaukos initiated projects to enhance complaints and transform paper-based QMS systems to a well-established, validated electronic platform that will enable state-of-the-art trending and oversight for our internal operations. These systems will be deployed in 2022 and continue to serve our employees and patients for years to come.

Employee training is a key factor in successfully implementing the QMS. All Glaukos employees receive comprehensive, ongoing training throughout the year specific to their role to ensure they uphold the highest quality and safety standards. Employees undergo periodic re-training that requires learners to demonstrate their comprehension and capability. Glaukos uses a combination of traditional and on-the-job training to provide employees with a well-rounded understanding of their roles.

Glaukos currently performs a number of in-

house analytical tests using robust, validated analytical methods. We rely on qualified third-party laboratories to test the remaining samples for raw material acceptability, finished product stability, and environmental monitor-

Glaukos assures excellence in product quality through our Quality Management System (QMS). Our QMS entails an effective and independent quality organizational structure, Quality Manual, policies, operational guidance documents, robust processes, and sufficient resources to deploy and oversee compliance to our QMS effectively.

ing and product microbiological testing. As our business continues to grow, so does the demand for more analytical and microbiological testing.

In 2022, Glaukos will begin construction on a substantial laboratory expansion investment that will increase our ability and capacity to perform in-house testing. Shifting our raw material, in-process, and finished product testing along with the extensive stability program testing in-house will reduce our costs per test, turn-around time on results reporting, and

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PRODUCT QUALITY AND PATIENT SAFETY

eliminate the environmental burden of shipping samples to various third-party laboratories for testing.

POST-APPROVAL QUALITY MANAGEMENT

Exceptional patient outcomes and safety are our primary focus. We provide validated pathways for patients or clinicians to report any complaint or adverse event to our team of medically trained professionals. These same systems are used by distributors, field service personnel, and our sales teams to efficiently capture all the essential information that enables Glaukos to thoroughly investigate reports and ensure all necessary actions are taken.

A few examples of these actions include, but are not limited to, advancing product design, further optimization of materials used in the construction of our products, enhancing manufacturing processes to prevent or reduce the likelihood of recurrence, and ensuring clarity of labeling and instructions for use.

Glaukos has established a reputation for exceptional patient safety. Based on the detailed analysis of the post marketing surveillance data for 2021, that success continues. In 2021, there were no significant negative trends in patient safety observed for Glaukos' portfolio of products. Additionally, Glaukos hosts a number of routine inspections by governing health authorities to ensure our programs comply with regulations in the markets we serve. In 2021, all inspectional authorities who evaluated Glaukos' post marketing sur-

veillance programs concluded no incidents of non-compliance with established regulations.

We use customer feedback and clinician use experiences, in addition to reported patient and clinician safety information, to improve our products and, ultimately, patient safety.

Glaukos invests in tools to capture customer feedback and analyze the data. True to our mission, we use these data to assess and improve existing product design and next-generation products, ensuring ongoing innovation in product development for chronic eye diseases. As a result of our investments, Glaukos will, in 2022, deploy a global patient safety signal detection system designed to analyze customer feedback and patient safety data in all the markets we serve. While the data is carefully monitored and reported currently, this critical element of our post-market surveillance and patient safety programs will be automated and allow us to streamline existing global statistical trending activities.

From the first stages of R&D, we use design controls to minimize the risk of product defects. If we find a defect, R&D collaborates with our engineering team to remedy the issue. By embedding product quality into every stage of our design process, we can detect and address flaws early and mitigate long-term risks.

The Medical Safety team collaborates with the engineering department to evaluate the case and identify the root cause during the complaint process. Once we identify the root

cause, the Quality team works with R&D to mitigate future risks. Glaukos regularly reviews all complaints, monitors trends data, and analyzes the data for all products on an ongoing basis.

Glaukos is committed to providing the highest-level customer experience, including effectively managing complaints. We track every product complaint we receive and thoroughly investigate as part of our quality management system and medical affairs infrastruc-

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PRODUCT QUALITY AND PATIENT SAFETY STATISTICS



- Product recalls
- Fatalities related to products
- Products on the FDA's MedWatch Safety Alerts



Percentage of significant product and service categories for which health and safety impacts are assessed for improvement

PRODUCTS

PRODUCT QUALITY AND PATIENT SAFETY

ture. Medical complaints undergo an extensive evaluation process, including gathering information from the complainant, physician, patients, and any other relevant party. Once the assessment is complete, it is evaluated for "reportability" and, if appropriate, is included in the Periodic Adverse Drug Experience Report, an electronic report filed with the FDA

Glaukos is committed to providing the highest-level customer experience, including effectively managing complaints. We track every product complaint we receive and thoroughly investigate as part of our quality management system and medical affairs infrastructure.

quarterly for the first three years after a drug is approved and annually thereafter.

While Glaukos has had zero recalls, should the need arise, we have an established process to evaluate promptly, document, and execute recalls for all markets in which we distribute the product. Should a safety or quality event occur, that could cause a significant compliance or safety risk, our highly trained, cross-functional team would carefully assess the event's potential compliance and/or safety risk.

Per Glaukos' established procedures, we en-

sure prompt assessment and notification to the appropriate government, regulatory, and health authorities in those countries where there could be an impact.

In collaboration with the regulatory authorities, Glaukos would notify impacted customers and provide written information on the event and instructions on what actions are recommended. Actions may include providing clinicians and/or patients with additional information, performing a corrective action on the product or clarifying labeling, or, when appropriate, request the product be returned to Glaukos.

Glaukos will ensure the recalled product is tracked and reconciled against what was shipped to each impacted customer when we perform a recall. Once all recall activities are complete, and health authorities are satisfied with actions taken, the recall will be closed.

Along with any necessary field actions, Glaukos would conduct a thorough investigation into the root cause of such event and identify corrective actions that will reduce or prevent the likelihood of recurrence of the issue. We actively work to optimize our Quality Management System and manufacturing processes to improve the quality and safety of our products continuously.

PROGRESS TOWARD OUR GOALS

Rooted in our commitment to patient safety, Glaukos' robust manufacturing processes, high level of Quality oversight, and a strong

culture of continuous improvement enabled the Company to again achieve no quality or safety events requiring a product recall in 2021. We aim to reach this goal again in 2022.



PRODUCTS

PRODUCT INNOVATION

GRI 103-1; GRI 103-2; GRI 103-3

Product innovation is core to Glaukos' mission to transform vision by pioneering novel, drop-less platform technologies that meaningfully advance the standard of care and improve outcomes for patients suffering from chronic eye diseases and disorders.

DEFINITION

Pursuing new customer solutions through innovative, competitive product offerings by allocating resources to research and development, and strategically aligning acquisitions with innovation and development needs.

MANAGEMENT APPROACH

Product innovation fuels Glaukos' success and is determinative in achieving our goal to be a vision care leader. Our internal and external stakeholders expect our developments to improve patient outcomes. From inception, Glaukos' ethos has focused on innovation, seeking to transform vision for patients suffer-

ing from chronic eye diseases. Continuing to innovate successfully will provide a competitive advantage and create sustainable revenue growth, allowing us to further invest in our R&D programs, clinical initiatives, people, systems, and infrastructure to support long-term value creation and success.

Glaukos has invested more than
\$300 MILLION
 in R&D programs since 2018

Glaukos' senior management is intimately involved with the oversight of our product innovation process. Senior management coordinates innovation efforts between our R&D programs, clinical trials, and commercialization teams through various quality, regulatory, operational, and patient safety processes. Our

R&D and Clinical departments continuously track and monitor pipeline program developments.

Our current projections for the commercialization of our pipeline platform technologies forecast a robust cadence of new product launches that can significantly improve patient care options, expand the Company's addressable market opportunities, and help drive sustainable long-term growth.

As of December 31, 2021, we had 16 active disclosed pipeline programs across various R&D and clinical stages, along with additional undisclosed programs (see graphic on next page). Please see our filings with the U.S. Securities and Exchange Commission for a more detailed discussion regarding these products, accessible [here](#). We are continuing to successfully invest in and advance our fulsome pipeline of promising innovations of core novel platforms, supported by over \$300 mil-

“We are in the business of making a marked difference on eye care, and innovation is what fuels our company. We should never rest but should always seek to improve and at the core of this is product innovation. Continuous innovation is what will propel our company forward...our customers expect innovation as well and we have developed a strong brand for being a powerhouse innovator; this attracts highly skilled surgeons [to] partner with Glaukos. Ultimately, the patient wins [by] being a recipient of our innovative technologies.”

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lion of self-funded investment into our R&D investment programs since 2018. We are planning for a robust cadence of new platform and product introductions over the coming years that have the potential to fun-

damentally improve eye care treatment options and transform Glaukos over time. In 2021, Glaukos updated our product innovation process. The first step in the revised process was to complete our product prioritiza-

tion exercise to determine which products we will pursue in the coming years. This process involves evaluating risks and opportunities as well as patient needs. When we begin introducing a new product, we assign a project

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Glaukos Pipeline Summary				
Platform	Product	Patient	U.S. Status	
1 iStent <i>micro-surgical device</i>	iPRIME	Delivery of viscoelastic during ophthalmic surgery	FDA Clearance Received	
	iStent / iStent inject / iStent inject W	Mild-to-moderate primary open-angle glaucoma in combination with cataract surgery	FDA Approved	
	iStent infinite	Glaucoma (failed on prior surgical therapy) Standalone	Submission Filed	
	iStent infinite	Earlier Intervention Glaucoma Standalone	IDE Pending	
2 iDose <i>sustained-release pharmaceutical</i>	PRESERFLO MicroShunt	Advanced-Refractory Glaucoma Standalone	PMA Submitted; review ongoing	
	iDose TR	Ocular Hypertension-Refractory Glaucoma	Phase 3; NDA filing targeted for 2022	
	iDose TREX	Ocular Hypertension-Refractory Glaucoma	Pre-clinical	
3 iLution <i>transdermal sustained-release pharmaceutical</i>	iDose ROCK	Ocular Hypertension-Refractory Glaucoma	Pre-clinical	
	GLK-311	Glaucoma	Pre-clinical	
	GLK-301	Dry Eye Disease	Phase 2; actively enrolling	
	GLK-302	Presbyopia	Phase 2; actively enrolling	
4 iLink <i>bioactivated pharmaceutical</i>	GLK-303	Blepharitis	Pre-clinical	
	Photrex (Epi-off)	Keratoconus	FDA Approved	
	Epioxa (Epi-on)	Keratoconus	Phase 3; NDA filing targeted for 2022	
	Third Generation	Keratoconus	Phase 2; actively enrolling	
5 Retina XR <i>bio-erodible sustained-release pharmaceutical</i>	GLK-401 (IVT Multi-Kinase Inhibitor)	Age-Related Macular Degeneration (AMD) Diabetic Macular Edema (DME)	Pre-clinical	
	GLK-411 (IVT Triamcinolone)	DME	Pre-clinical	

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manager to guide the development of the product through the pipeline. The project manager is responsible for identifying and managing any challenges throughout the product innovation process. These efforts have taken Glaukos from a single commercialized product, the *iStent*, in



is our first standalone trabecular micro-bypass glaucoma therapy. We filed our FDA 510(k) submission in the fourth quarter of 2021.

2012 to five in 2022, adding the *iStent inject*, *iStent inject W*, *iLink Epi-off*, and *iPRIME*. Further, Glaukos is pursuing 16 publicly disclosed pipeline programs in various R&D and/or clinical stages, and additional programs that have not been publicly disclosed.

iSTENT MICRO-SCALE SURGICAL DEVICES

After years of investment and strategic planning, we are excited to be on the cusp of expanding *iStent*'s market availability into the standalone glaucoma population with targeted FDA clearance of *iStent infinite®* in the first half of this year.

The *iStent infinite* is a three-stent device designed for use in a standalone procedure to reduce elevated IOP in glaucoma patients. It includes heparin-coated titanium stents preloaded into an auto-injection system that allows the surgeon to inject stents across a span of up to approximately six clock hours around Schlemm's canal, the eye's primary drainage channel. Once in place, the stents are designed to lower IOP by restoring the natural, physiological outflow of aqueous humor.

iStent infinite's strong pivotal data results, which were announced in January 2021, showed profound efficacy and safety outcomes for patients with open-angle glaucoma that failed prior surgical or medical therapy. You can find the associated press release [here](#) and more analysis on the

pivotal data results in our latest Quarterly Summary document posted [here](#). These outcomes reinforce our confidence that this technology may effectively serve as an earlier intervention for the treatment of glaucoma.

iDOSE SUSTAINED-RELEASE PHARMACEUTICALS

In June 2021, we completed patient enrollment in our Phase 3 clinical trials for *iDose TR*, randomizing 1,150 subjects with open-angle glaucoma or ocular hypertension. The 12-month *iDose TR* Phase 3 trial results are expected to support Glaukos' targeted NDA submission by the end of 2022 and projected FDA approval by the end of 2023.



is designed to elute therapeutic levels of travoprost, a common glaucoma medication, from within the eye for extended periods of time. We are targeting our U.S. NDA submission by year-end 2022.

In January 2022, we announced what we believe is powerful data that further underscores the potential for this technology to safely provide multiple years of sustained glaucoma pharmaceutical therapy and 24/7 compliance to tackle the significant problem of patient non-adherence to topical glaucoma medication regimens.

The 36-month analysis of our Phase 2b trial showed compelling results, with roughly 70 percent of *iDose TR* subjects still well-controlled with the same or fewer IOP-lowering topical medications at 36 months versus screening, compared to only 46 percent of subjects in the timolol control arm. Further, in this responder group, average IOP reductions from baseline observed at 36 months were substantial, approximately 8.3 mmHg and 8.5 mmHg in the fast- and slow-release *iDose TR* arms, re-

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spectively. Importantly, a single *iDose TR* implant is being compared to the timolol control arm that received twice-daily drops, or 2,190 eye drops per eye per protocol, over the 36-month evaluation period.

The most recent Phase 2 data readout demonstrated a favorable safety profile, with no clinically significant corneal endothelial cell loss, no serious corneal adverse events, and no adverse events of conjunctival hyperemia reported to date in either *iDose* elution arm. You can find the associated press release [here](#) and more analysis on the Phase 2b trial results in our latest Quarterly Summary document posted [here](#).

These latest Phase 2 results further underscore the potential of *iDose TR* to safely provide multiple years of sustained dropless therapy and help tackle the significant problem of patient non-adherence and chronic side effects associated with topical glaucoma medication regimens. These data reaffirm our excitement about the potential commercial prospects of *iDose TR* and mark another critical step forward in the advancement of this potentially game-changing innovation.



is our next-generation keratoconus therapy. We are targeting our U.S. NDA submission in 2022.

iLINK BIO-ACTIVATED PHARMACEUTICALS

In February 2021, we announced positive Phase 3 results for *Epi-on* (associated press release can be found [here](#) and more analysis on the Phase 3 trial results in our latest Quarterly Summary document posted [here](#)). The results achieved the primary efficacy outcome and underscore our view that this therapy may provide the ophthalmic community and keratoconus patients with the first truly non-invasive, bio-activated drug treatment alternative designed to reduce procedure times, improve patient comfort, and shorten recovery times.

Epi-on's positive Phase 3 results are expected to support a U.S. NDA submission in 2022 and we are targeting FDA approval for *Epi-on* in 2023. In March 2022, we commenced a Phase 2 clinical program for a third-generation *iLink* therapy, a CXL treatment designed to customize the therapeutic capabilities, streamline the patient experience, and build upon Glaukos' *iLink* platform therapies.

iLUTION TRANSDERMAL PHARMACEUTICALS

In January 2022, we announced the commencement of patient enrollment in two Phase 2 clinical trials, including GLK-301 for the treatment of signs and symptoms of dry eye disease and GLK-302 for the treatment of presbyopia. These are the first two investigational drug candidates utilizing our *iLution* platform, each of which utilizes pilocarpine as its active pharmaceutical ingredient. The commencement of these Phase 2 trials represents a significant milestone in the development of our *iLution* platform and for our Company, and we are excited to have the opportunity to explore what these drug candidates can do for these respective large and underserved patient populations. For more information about our pipeline programs, please see our latest Quarterly Summary document posted [here](#).

PROGRESS TOWARD OUR GOALS

Our Product Innovation goal is FDA submissions of pipeline technologies that would allow us to meet our publicly stated targets for FDA approvals. Because our products undergo thorough review from the FDA and other regulatory authorities and are subject to other factors outside our control, we may not be able to control the timing of our product approvals. However, we will endeavor to advance our products through the R&D and clinical stages in a manner that would allow us to meet our publicly stated FDA submission timelines. We are pleased with our progress toward this goal based upon our FDA submission in 2021 for clearance of *iStent infinite*, and anticipated FDA submissions in 2022 for *iDose TR* and *iLink Epi-on*.

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ACCESS, AFFORABILITY, AND PRICING

GRI 103-1; GRI 103-2; GRI 103-3; SASB HC-BP-240b.2

Glaukos believes that our mission to create transformative ophthalmic products that disrupt conventional treatment paradigms encompasses a responsibility to promote broad access to, and thoughtful consideration about, the affordability and pricing of our glaucoma and corneal health products. We believe all individuals should have access to affordable, high-quality care.

Even as a relatively young public Company, Glaukos is committed to providing broad access to our sight-saving therapies through pricing on the basis of value while creating meaningful support programs and donating our products to underserved populations. As our business continues to expand, so will our ability to profoundly impact ophthalmic clinical outcomes and the quality of our patients' lives.

DEFINITION

Pricing products according to the value they deliver while employing flexible pricing approaches and support programs to ensure patient access.

MANAGEMENT APPROACH

Our Access, Affordability, and Pricing programs are overseen by the Global Marketing and Global Medical Affairs organizations. Both organizations report to the Vice President of

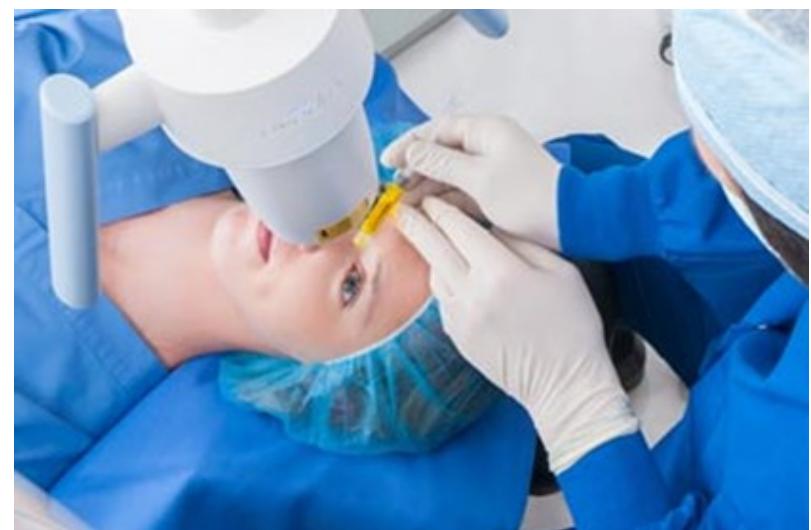
Global Marketing.

We carefully consider various factors when determining how best to price our products, including patient total direct medical costs and out-of-pocket costs, lifetime cost-savings generated by our products, and the investment amount required to bring our products to market. We also provide funding for research projects to determine whether our products continue to represent good value for our patients.

We regularly review the research findings examining the economics of the various ophthalmic care options and weigh the costs and efficacy of other therapies against those of our own. For example, we commissioned a study that was published in the Journal of Medical Economics¹. The study compared the cumulative cost of a two-stent glaucoma treatment using our *iStent* technologies with that of laser trabeculoplasty or medications only. The study found that over five years the cost of our innovative *iStent* technologies is lower than that of the alternative treatments studied. Studies such as this demonstrate the value and relative affordability our *iStent* technologies create for both our patients and the healthcare system. Similarly, in connection with the 2020 price increase of our *iLink* therapies, we evaluated the value our CXL therapies provide to both an individual keratoconus patient as well

as the broader healthcare system. For example, a Glaukos supported 2020 study published in the Journal of Medical Economics² modeled the cost-effectiveness of CXL versus no CXL for 2,000 U.S. keratoconus patients (4,000 eyes). The findings included:

- The CXL group was 25.9 percent less likely to undergo penetrating keratoplasty (corneal transplantation) and spent 27.9 fewer years in advanced disease stages.
- CXL had lower total direct medical costs (- \$8,677; \$30,994 vs. \$39,671) and patients out-of-pocket cost-savings could be as high as \$4,248 over a lifetime.
- CXL was associated with a lifetime cost-savings of \$43,759 per patient. CXL was cost-effective within 2 years and cost-saving within 4.5 years.



¹ John P. Berdahl, Anup K. Khatana, L. Jay Katz, Leon Herndon, Andrew J. Layton, Tiffany M. Yu, Matthew J. Bauer & Louis B. Cantor (2017) Cost-comparison of two trabecular micro-bypass stents versus selective laser trabeculoplasty or medications only for intraocular pressure control for patients with open-angle glaucoma, *Journal of Medical Economics*, 20:7, 760-766, DOI: 10.1080/13696598.2017.1327439. Funded by Glaukos.

² R. Lindstrom, J. Berdahl, E. Donnenfeld, V. Thompson, et al. Corneal Cross-Linking versus Conventional Management for Keratoconus: A Lifetime Economic Model. *J Med Econ* 2020. Funded by Glaukos.

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ACCESS, AFFORABILITY, AND PRICING

- Patient quality of life was improved in the CXL group. CXL was associated with a nine percent improvement (gain of 1.88 quality adjusted life years) compared to no CXL over the patients' lifetime.

Based on these findings and similar evaluations performed internally, we increased our prices modestly over the last few years (~5 percent annual average since 2017). Given the significant lifetime cost-savings per patient and the broad reimbursement available for our products, we are confident that Glaukos' therapies represent valuable treatment options for patients suffering from chronic eye diseases.

ACCESS, VOLUNTEERISM, AND CHARITABLE GIVING

In the United States, Glaukos is committed to providing access to patients to our glaucoma and corneal health technologies by:

- Ensuring that payers understand the social and economic value of preserving sight and including Glaukos' treatments in their members' benefits;
- Collaborating with patient advocacy organizations to educate and empower their members to seek and receive sight-preserving treatment options; and
- Providing donated products via programs for under-insured and uninsured patients.

Internationally, Glaukos is committed to providing access to our technologies by:

- Donating devices to surgeons doing missions in 45 different countries in collaboration with charity organizations in order to help underserved glaucoma patients;
- Fostering and expanding a robust network of ophthalmologists who do surgical missions and, where applicable, connecting them with local international resources; and
- Establishing surgical training opportunities for untrained surgeons in international countries who often become the first MIGS surgeons in previously unreached countries and regions.

Further, volunteerism and charitable giving are inextricably tied to our Company culture and an emphasis on the accessibility of our products. One of the main components of Glaukos' ethos is giving back. Company employees receive 16 hours of paid volunteer time off (VTO) to encourage giving back to the communities that we serve.

GLAUKOS CHARITABLE FOUNDATION

provided more than \$200,000 to various charitable organizations in 2021, including a donation to Project Vision Hawaii for the purchase of NIDEK topographers that allowed under diagnosed children to be screened for corneal disease.

Additionally, employees can donate their paid time off (PTO) to a general PTO bank that we use to assist employees in need but who may not have PTO available to use. As of December 31, 2021, over 3,000 hours of PTO have been donated and over 560 of those donated hours have been distributed to employees who were seriously ill or injured or experienced hardship, including the loss of a loved one, since we introduced the program in 2017. This program allows us to support each other in times of need.

The Glaukos Charitable Foundation (Glaukos Foundation), a qualified 501c (3) tax-exempt organization, supports our charitable endeavors. The Foundation's mission is to support charitable organizations and programs designed to improve the well-being of humanity worldwide. It administers Glaukos' philanthropic activities and creates a systematic and efficient process to distribute philanthropic dollars, aligned with our mission. Through various outreach programs, the Glaukos Foundation also connects Glaukos employees to opportunities to volunteer or contribute to the improvement of the lives of others.

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To ensure that our sight-preserving products are accessible to patients from underserved populations, Glaukos has established a culture of giving through our Glaukos Patient Assistance Program. In 2021, notwithstanding the COVID-19 challenges, Glaukos provided more than 2,300 Photrexa kits to uninsured individuals for the treatment of keratoconus, an increase of 94 percent over 2020. We also donated more than 200 iStents and related accessories to benefit underserved glauco-

ma patients in various countries across the globe. Additionally, we maintain long-standing partnerships with more than 100 humanitarian organizations through which we supply Glaukos products and other financial contributions. Our overall goal with respect to Access, Affordability, and Pricing is to continue to support Patient Assistance Programs by providing products to support underserved patient populations as well as to donate our employees' time and Company resources to institutions that focus on the betterment of humanity.

In 2021, despite continued challenges imposed by the COVID-19 pandemic, the Glaukos Foundation coordinated 12 giving experiences. Activities included:

- **Thanksgiving Fundraiser** Glaukos and its employees contributed almost \$100,000 collectively to the OC Food Bank and The Greater Food Bank of Boston
- **Holiday Family Adoption** Adopted 175 families in need located in the U.S., U.K., Australia and New Zealand to provide Christmas and other holiday donations

- **Serra's Pantry** Held over 10 weekend volunteer events serving food to needy individuals
- **Sailor Supply Drive for Camp Pendleton** Gathered, boxed and delivered items to sailors of ACU-5 stationed in the Persian Gulf
- **Beyond Blindness** Volunteered at the Family Summer Carnival, Summer Field Trip to Newport Back Bay, the Fall Golf Classic and a Thanksgiving event
- **Back-to-School Drives** Volunteered and/or donated backpacks and school supplies to Families Forward (Orange County, CA) and School on Wheels (Boston, MA)
- **The Carroll Center for the Blind** Donated Christmas trees and lights; employ-

ees volunteered to help decorate the center for the holidays

We will continue to seek out and sponsor charitable events and ways to support our employees' efforts to give back to our communities.



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PROTECTION OF INTELLECTUAL PROPERTY

GRI 103-1; GRI 103-2; GRI 103-3

Glaukos believes that intellectual property (IP) is fundamental to our ability to create novel platforms that transform chronic disease treatment for patients worldwide. We rely on patents, trademarks, trade secrets, know-how, internal R&D, licensing opportunities, and non-disclosure agreements to develop and protect our proprietary technology.

DEFINITION

Implementing safeguards to ensure Glaukos' ideas, innovations and processes are protected from competitors.

MANAGEMENT APPROACH

IP is a critical asset for Glaukos, and the protection of our IP is crucial for continuing to promote research and development and allowing for further innovation and profitability.

Glaukos is committed to acting responsibly and ethically, both when protecting our inventions and respecting the rights of others. Cross-functional teams within the Company, including legal and R&D, in collaboration with outside counsel, take the lead in IP procurement and IP management, while senior management provides oversight and strate-



gic guidance. Glaukos uses outside counsel to provide an independent review of our approach and assist with IP prosecution and enforcement. The team works hard to ensure that Glaukos' ideas, innovations, and processes are protected, allowing us to continue investing into the future.

As of December 2021, we had over

300 PATENTS

in the U.S. and in foreign jurisdictions that protect our current and future products and technologies.

Glaukos seeks patents for inventions we, in good faith, believe are patentable and have the potential to further innovation and provide novel solutions for chronic diseases. As of December 2021, we had over 300 patents in the U.S. and in foreign jurisdictions that protect our current and future products and technologies. We also have licensing partners with whom we have agreed to exchange IP rights for cross-licensing rights and/or royalty payments. We take reasonable measures to protect our IP rights, including monitoring competitor products and, when necessary, litigation.

In 2021, Glaukos settled its three-year patent litigation against Ivantis, maker of the Hydrus Microstent trabecular bypass device. Under the terms of the agreement, Ivantis will pay Glaukos \$60 million, and a 10 percent ongoing royalty based on Hydrus sales through April 26, 2025. Please visit our [website](#) to read the full press release.

PROGRESS TOWARD OUR GOALS

To best maintain our current portfolio of IP rights and coordinate a comprehensive IP strategy, we undertook a thorough review of our existing IP rights and IP strategy. This helps us formalize our IP protection efforts and generate broader organizational commitment. We aim to continue this goal going forward.

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Our people are the greatest asset we have. We are committed to making Glaukos an engaging, diverse, and safe place to work.



● = Completed ● = Partially Completed

Topic	Goals Set in 2021	YE 2021 Status	Goals Set in 2022
Talent Attraction, Development, Engagement and Retention	Implement new employee engagement survey in 2021 and achieve 75% employee participation with engagement scores at industry benchmark or higher	●	Based on the 2022 Great Places to Work engagement survey results, identify areas of opportunity; communicate and measure progress against improvement areas in 2023
	Create a flexible work task force and implement flexible work arrangements in 2021	●	Implement flexible work arrangements in 2022
Diversity and Inclusion	In 2021, form diversity, equity and inclusion (DEI) task-force with executive sponsor to champion diversity initiatives	●	As led by DEI forum, identify and implement at least two company-wide initiatives and success measures that will expand Glaukos' approach to diversity, equity and inclusion by 2024
Workplace Health and Safety	10% reduction in Lost Work Day Rate by end of 2023	●	Conduct an annual health and safety risk assessment and implement at least one new initiative annually to mitigate the top identified risk

SOCIAL

TALENT ATTRACTION, DEVELOPMENT, ENGAGEMENT, AND RETENTION

GRI 103-1; GRI 103-2; GRI 103-3; GRI 401-1; GRI 401-3; GRI 404-2; GRI 404-3

Glaukos' success depends on attracting, developing, and retaining talented individuals in the global markets where we compete. By fostering a diverse and engaged workforce, we promote an inclusive and collaborative culture fundamental to our strategic plan and business success. Glaukos seeks to invest and develop our workforce to offer the leading employee experience.

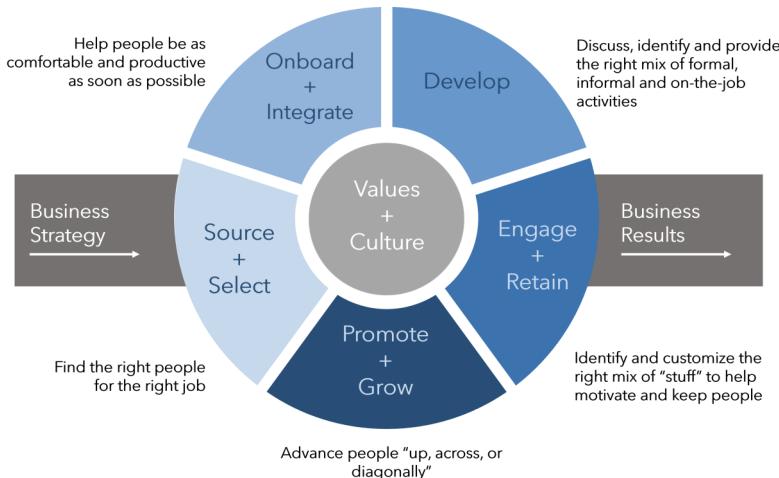
DEFINITION

Developing and implementing global strategies for attracting, developing, and retaining workers, including offering market-competitive compensation, bonuses, and equity at all levels in the Company for eligible employees, competitive benefits, providing career path opportunities and promoting employee satisfaction.

MANAGEMENT APPROACH

Glaukos is a rapidly growing company. Creating and maintaining a positive workplace culture is vital to attracting and retaining talented employees. Our ability to execute our strategic vision depends upon the

GLAUKOS PEOPLE/TALENT WHEEL



talented individuals we employ. Glaukos seeks to create an experience that enables our employees to focus on our shared goal of improving the lives of patients and developing transformative technologies. For more information on our efforts to create a comprehensive, cohesive and positive employee experience, please see our 2021 [Form 10-K](#).

Glaukos' leadership team and our Human Resources department use two models to influence Glaukos' talent strategy and actions. The first model, which we refer to as The People/Talent Wheel considers how business strategy impacts five people-related approaches: Talent Acquisition, Onboarding, Development, Engagement, and Retention. The second model, the *Talent Ecosystem*, collects information on our quarterly Career and Performance Check-Ins. The *Talent Ecosystem* helps leaders represent employees at Talent Calibration meetings, which influences how we identify successors and prepare them for future roles.

Where appropriate, Glaukos does regular skills assessments to identify potential skill gaps within specific departments. If we identify a gap, we work with leaders to address it either through succession planning or targeted external recruitment efforts.

In partnership with Human Resources, Glaukos' leadership team formalized a Succession Planning and Talent Calibration program in 2021. Senior leaders within Glaukos identified and reviewed critical positions, succession plans and development actions. This process provides insights into our critical roles and ensures diversity among identified successors in terms of experience, background and capabilities. In addition to identifying critical roles for the incumbent and successor we developed retention strategies, and identified continued opportunities to build the right experiences for a successful ongoing career at Glaukos.

EMPLOYEE WELLNESS, BENEFITS, AND COMPENSATION

At Glaukos we manage global policies and standards for managing employee wellness, benefits and compensation. Our Global Total Rewards

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TALENT ATTRACTION, DEVELOPMENT, ENGAGEMENT, AND RETENTION

approach plays a vital role in attracting and maintaining a healthy and satisfied workforce to help us retain global top talent, and thereby building an environment of equal opportunity for all. We apply the following principles to help achieve consistent fair compensation packages that reward performance:

- Base salaries, discretionary bonuses and benefits packages are based on, and competitive in, and appropriate for, each of the markets where we compete for talent.
- Individual performance with balance of short-and long-term objectives.
- Compensation that encourages behaviors that are consistent with our values.

Another important component of our total compensation approach is to enable employees to build ownership stake in our Company. We operate with several programs to enable this:

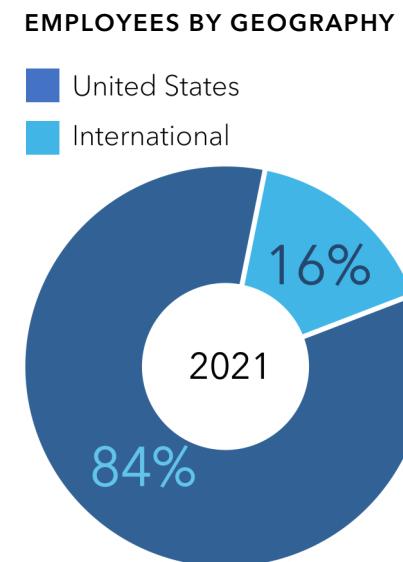
- Glaukos' long-term incentive program grants restricted stock units (RSUs) to eligible employees, generally located in the United States. Over time, when the awards vest, they are paid out in shares of Glaukos common stock (country specific exceptions may apply). In the United States, employees at every level within the organization are granted RSUs.
- Glaukos offers employees the opportunity to purchase Glaukos stock at a discount through the Employee Stock Purchase Plan (ESPP). The ESPP is available to any employee or personnel hired through a professional employer organization worldwide who customarily works at least 20 hours per week. As of December 2021, 62 percent of eligible personnel participate in the ESPP program.

Glaukos takes a holistic approach to employee well-being that is tailored to each market. We offer programs that support a work-life balance, and promote good health and mental well-being. In 2021, Glaukos expanded our international employee assistance programs (EAPs) to both employees and their family members that offered health and wellness resources to in all our direct markets that provided:

- Counseling services for emotional care
- Ways to manage stress and anxiety during uncertainty
- Financial and legal planning resources
- Local resources, including where to find child care and elder care

We review our programs periodically to ensure competitiveness within our industry. International employee eligibility for non-salary benefits follows local regulations and practices. We offer the following benefits in the U.S.:

- **Healthcare Benefits** that are designed to support the wellness of our employees. This includes medical, dental and vision insurance, flexible spending accounts, Health Savings Account (HSA) with an employer contribution, limited purpose flexible spending account and the ability to access virtual health services.
- **Insurance Benefits** to ensure that those that rely on Glaukos employees for support can help protect their family financial security. This includes Company paid Life/AD&D and long-term disability,


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paid short-term disability, voluntary supplemental life, critical illness and hospital indemnity insurance.

- **Retirement Benefits** to allow employees a tax-advantage way to save money so they can achieve their retirement goals. Glaukos offers a 50 percent match of the first six percent that employees contribute.
- **Time Off Programs** and Leaves of Absences that allow employees to refresh and spend time in the community volunteering, Company holidays (13 total), bereavement and Company-paid parental leave.
- **Work Life Programs** that offer a wide-range of benefits from family planning, pet insurance, child and elder care, employee discount programs, discounted health club memberships, onsite flu and COVID-19 vaccinations and testing.

Depending on their role and the country in which they work, employees have access to flexible and hybrid work options. In the U.S., Glaukos has continued to offer support for child care, through Care.com. We also offer eight weeks of paid maternity leave, along with two weeks of Paid Parental Leave for a total of 10 weeks of supplemental paid time off. Paid Parental Leave is for eligible parents including delivering mothers, adoptive parents and supporting spouse and state registered domestic partners. Glaukos had 31 eligible employees take Parental Leave and/or maternity leave in 2021. One hundred percent of eligible employees utilized the program. We had 81 percent of employees who took either maternity leave and/or Parental Leave then return to work in 2021 and 84 percent of that population continues to still be employed with Glaukos as of December 2021.

At Glaukos, we have processes to ensure consistency in compensation across similar roles in relevant markets. As a result, Glaukos compensates employees based on the work they do, regardless of race, ethnicity or gender. We are committed to equal pay for equal work.

To advance our commitment to internal pay equity and pay transparency, Glaukos conducts an annual pay equity analysis to evaluate the dis-

tribution of merit, bonus and RSUs. We regularly evaluate pay practices in connection with new hires and promotions, and our annual affirmative action program. If any gaps in pay equity are identified, that information is shared with business leaders and addressed accordingly.

Glaukos executive compensation programs are designed to attract and retain high-caliber executives. The executive compensation programs link the executive management team to shareholder interests. Glaukos executives receive base salaries and employee benefits that are market competitive. A significant portion of the annual compensation for our executive leadership team is based on the Company's annual business performance and each individual's contribution to that performance. The executive compensation programs provide the opportunity to our executive leadership to be rewarded for achievement for both near-term and long-term results. For more information about our executive compensation program, please see our [proxy report](#).

In 2021, Glaukos created new benefits that employees could use to make life easier for elder care. Glaukos offers HOMETHRIVE to employees because caring for elderly family members can be confusing and overwhelming. We offer this service to employees to provide guidance, support, and expert advice from trusted advisors.

Additionally, there are digital tools and supportive services to help employees care for aging loved ones at home.



SOCIAL

TALENT ATTRACTION, DEVELOPMENT, ENGAGEMENT, AND RETENTION

EMPLOYEE ATTRACTION

Glaukos strives to cultivate an inclusive and engaging work environment for our employees. We plan holiday parties, arrange food truck events at our facilities, and celebrate employees on significant employment anniversaries. Amid COVID-19, we hosted the virtual Glaukos Holiday Madness competition, a team-based trivia game that included Company provided cash prizes for teams that performed well. We collect feedback through regular employee surveys and gather insights on how we can make Glaukos an inviting place to work. We believe these varied and employee-focused approaches will help us better achieve our long-term goals.

EMPLOYEE DEVELOPMENT

We work to provide employees with the skills and tools needed to reach their career goals. We have implemented a new Learning Management System that offers over 14,000 courses for employees to enhance their skills offered in seven languages.

In 2021, Glaukos designed, developed, and offered two global leadership development programs designed to strengthen leader effectiveness: Leader Lab and Launch. Leader Lab was offered to four cohorts of experienced senior managers, directors, and senior directors to teach and strengthen the leader's ability to effectively facilitate performance, career, and development discussions. Leaders learn, practice, and apply facilitative

coaching, and two models for giving and receiving feedback. Piloted in 2021, the Launch program was designed for newly appointed supervisors and managers and offers both basic leadership development skills and management skills related to employee relations and legal requirements.

We offer several department- and organization-specific learning and development opportunities, including focused leadership

development coaching and assessment for clinical and commercial leaders, intra-department communications and relationship-building development for operations and quality leaders, and functional specific training for interviewing skills for the commercial and market access leaders.

Within certain departments, we offer formal on-the-job training. Our commercial organiza-

In 2021, 82 percent of our employees completed our annual **employee engagement** survey. The company-wide survey results earned us the

Great Place to Work Certification. Based on the survey results, our top strengths include pride in our company, fairness and how people are treated, management and leadership integrity, and employees feeling they can be their true selves. Conversely, one of the areas of opportunity was a desire for more growth and development opportunities. As a result of this feedback, we enhanced our efforts to provide more opportunities for development by implementing new leadership development programs. We also continue to communicate and remind employees and leaders regarding the importance of quarterly check-ins to discuss and update career and growth goals and outcomes.



82% Of employees completed our annual employee engagement survey

Response rate to the Great Places to Work statement:

"Taking everything into account I would say this is a great place to work."

91%
GLAUKOS

95%
2020 Best Small & Medium Companies

87%
Fortune 100 Companies

81%
2021 Best Healthcare Companies

SOCIAL

TALENT ATTRACTION, DEVELOPMENT, ENGAGEMENT, AND RETENTION

We work to provide employees with the skills and tools needed to reach their career goals. We have implemented a new Learning Management System that offers over 14,000 courses for employees to enhance their skills offered in seven languages.

tion requires all sales representatives globally to go through a multi-day basic training and be certified. As part of their ongoing product knowledge, sales personnel receive regular product training both live and through our new digital training platform, iLearn. Our clinical team has dedicated trainers to support consistency across those employees monitoring our studies. As part of our commitment to quality, all employees directly involved in the manufacturing process complete quality-specific training to ensure we maintain the highest-quality product.

We also support our employees' growth by offering them opportunities to pursue continuing education through use of Glaukos' Tuition Reimbursement Program. U.S. employees who work 32 hours or more per week are eligible to be reimbursed for qualified degree or certificate programs.

The Company also holds quarterly all-hands meetings to update our employees on signifi-

cant Company news as well as business-specific overviews that provide employees with educational opportunities to learn more about the Company's commercial products and pipeline progress.

Regular and comprehensive feedback is necessary to support the growth of our employees. At Glaukos our performance management philosophy is focused on forward-looking discussions that take place, at a minimum, quarterly allowing for employees to receive continuous feedback throughout the year. We refer to this as our *Check-In Process*. During the check-in meetings, managers and employees discuss SMART goals, performance goals and personal development goals. In addition, we encourage employees to provide feedback to identify and address gaps in the employee experience. To provide further support for our leaders, we provide a job-aid training on SMART goal writing and how to conduct effective "Check-Ins". We conduct quarterly surveys asking employees if they have had meaningful conversations with their supervisors to measure the effectiveness of our performance review system. In 2021, 88 percent of employees who completed the survey indicated they had a meaningful discussion with their supervisor.

Glaukos' global overall retention for employees is 86.3 percent. We have seen an increase in overall turnover for 2021; however, we have found that we are five percent lower than industry trends.¹ We believe our efforts to de-

velop talent, enhance employees skills and pay competitively have offered Glaukos an advantage to retain the top talent that work here.

OUR PROGRESS THIS YEAR

In 2021, we participated in our first annual Great Place to Work survey. Based on our strong survey results, Glaukos was certified as a Great Place to Work. We exceeded our participation goal with 82 percent of our global workforce completing the survey.

In an effort to adapt to the changing workplace landscape and to accommodate our employees and working parents, we announced our plan to implement a hybrid work option. We communicated to our employees the hybrid approach we intend to formally implement and provided resources to people leaders on managing a remote workforce, including the topics of accountability, flexibility and leading with empathy.

This year, we introduced a new goal to provide U.S. leaders the opportunity to participate in leadership development programs. This will allow our employees to grow their skillsets to reach their personal and professional goals.



¹ Referenced Aon 2021 Salary Increase and Turnover Study - Second Edition Refresh; Turnover - Total Population (including sales); June 1, 2020 to June 1, 2021 (population referenced LS Life Sciences/Biotech/Pharma).

SOCIAL

DIVERSITY AND INCLUSION

GRI 103-1; GRI 103-2; GRI 103-3; GRI 405-1

At Glaukos, we believe that broader perspectives increase our ability to drive innovation. We have sought to create a culture that understands the power of diversity and the importance of an environment that respects each individual, where all employees feel valued for who they are and the unique perspectives they bring.

DEFINITION

Creating a company-wide culture of diversity, inclusion, and non-discrimination, including in the hiring process.

MANAGEMENT APPROACH

Each Glaukos employee brings a different background, set of skills, and perspective. Our

diversity propels creativity and innovation, which results in increased value for Glaukos.

In 2021, we implemented our DEI Forum, a cross-departmental DEI advisory council comprised of individuals from several countries to provide better oversight of our diversity and inclusion initiatives. Our Senior Vice-President, Human Resources as well as our Senior Vice-

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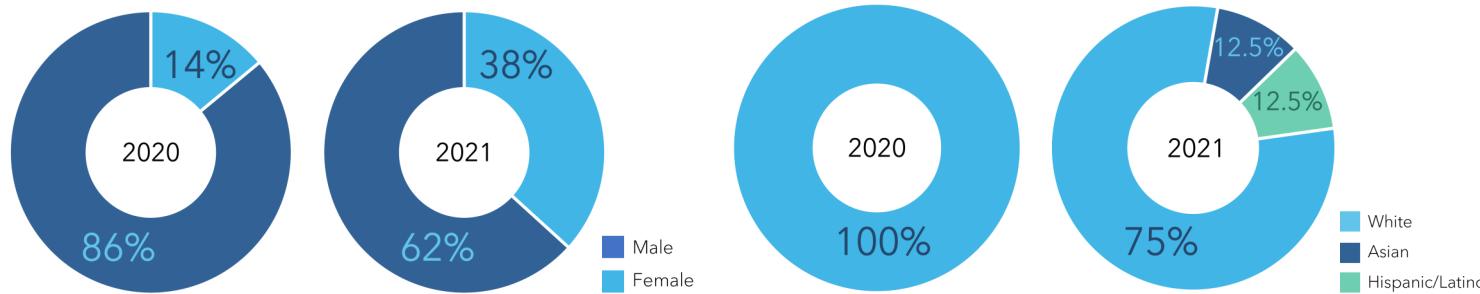
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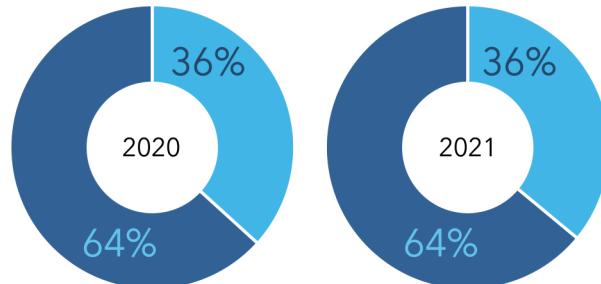
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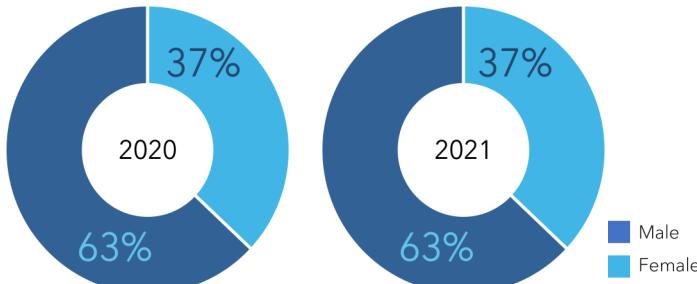
BOARD OF DIRECTORS BY GENDER AND RACE/ETHNICITY



SENIOR MANAGEMENT BY GENDER



GLOBAL WORKFORCE BY GENDER



SOCIAL

DIVERSITY AND INCLUSION

President, Research & Development, co-sponsor this council. The Forum's purpose is to understand Glaukos' DEI culture, discuss and recommend new and improved resources, tools, and behavior that promote diversity, and act as visible DEI ambassadors within Glaukos. The Forum has a six-year strategic plan to implement programs and systems that foster DEI. The DEI Forum set

annual, actionable goals and reviews progress toward those goals quarterly.

We implemented and enforce our [Human and Work-force Rights](#) policy, Anti-Harassment Policy, and Affirmative Action and Equal Opportunity (EEO) Policy to ensure every employee feels safe and welcome at Glaukos. In the EEO Policy, we affirm that Glaukos is an equal

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“ “Diverse teams make better, more innovative decisions. I enjoy working in teams with a high level of respect and trust, and I would like to help facilitate that atmosphere here at Glaukos.”

IONA R., GLAUKOS EMPLOYEE AND MEMBER OF DEI FORUM

“ “I am a middle-aged Australian female of Asian descent with a LBGT child. I hope to have a voice that can add value and help enhance DE&I at Glaukos.”

MALATY K., GLAUKOS EMPLOYEE AND MEMBER OF DEI FORUM



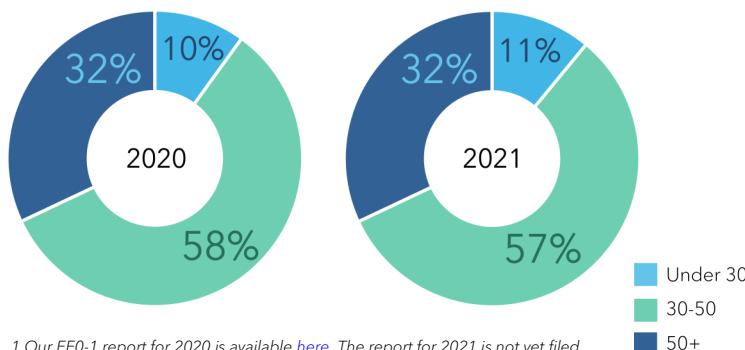
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DIVERSITY AND INCLUSION

opportunity employer and that we will take the following steps to pursue a diverse and equitable workforce:

- Glaukos recruits, hires, assigns, promotes, sets compensation and takes all other employment actions without regard to race, national origin, religion, age, color, sex, sexual orientation, gender identity, disability, protected veteran status or any other characteristic protected by local, state, or federal laws, rules, or regulations.
- In order to achieve our commitment to appropriate gender and minority representation within the workforce, we participate in targeted recruitment of minority, women, veteran, and disabled jobseekers and make best efforts to have representation in the applicant pool for all levels of the workforce, including senior management levels.¹
- To encourage diverse applicants in our hiring process, Glaukos funds online efforts to target diverse groups, including veterans, minorities, and women. We partner with a third-party service, Circa, which pulls job openings from our website and disperses them through their Community and Diversity Outreach program.

GLOBAL WORKFORCE BY AGE



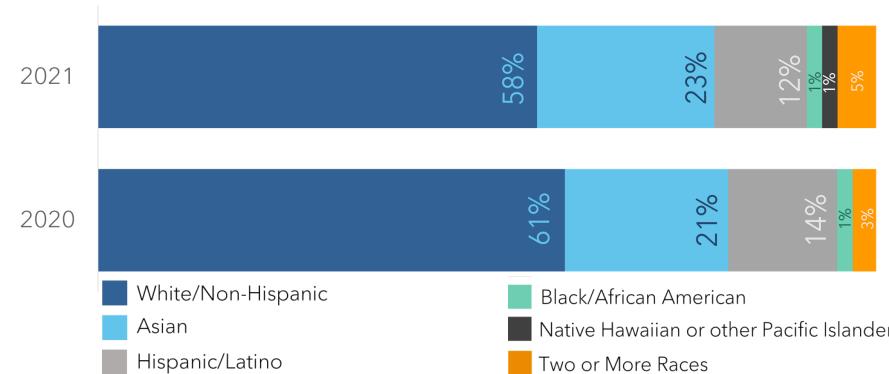
¹ Our EEO-1 report for 2020 is available [here](#). The report for 2021 is not yet filed.

To encourage diverse applicants in our hiring process, Glaukos funds online efforts to target diverse groups, including veterans, minorities, and women. We partner with a third-party service, Circa, which pulls job openings from our website and disperses them through their Community and Diversity Outreach program.

This table details the number of times we reached out to specific types of organizations in 2021 to highlight our roles at Glaukos.

Construction/Skilled Trades	1
Diversity Organizations	344
Engineering	72
Manufacturing	18
Minorities	116
One-Stop Centers	130
People with Disabilities	915
State Workforce Agencies	81
Universities and Colleges	842
Veterans	4347
Women	278
Grand Total	7144

U.S. WORKFORCE BY RACE/ETHNICITY



SOCIAL

DIVERSITY AND INCLUSION

- Further, our leadership development program, Leader Lab, focuses on the coaching and inclusion skills of leaders. Our Director, Talent & Learning, who is responsible for development programs as well as facilitates our DEI Forum, has received his Certified Diversity Professional (CDP) from the Institute for Diversity Certification.

PROGRESS TOWARD OUR GOALS

This year, we achieved our goal of forming a DEI taskforce. We created the DEI Forum comprised of 12 individuals from several departments and countries. We held our first three meetings and reviewed and analyzed DEI data to establish a baseline for our goals. We engaged an outside consultant to help us facilitate forum discussions and to increase credibility. The DEI Forum will accelerate DEI-related recommendations and actions in 2022.

In September 2021, we hosted a webinar in Australia for surgeons entitled “*Implementing iStent inject W in Different Practice Settings*”. The webinar featured an all-female panel of very experienced iStent *inject* users. Dr. Ridia Lim chaired the meeting; A/Prof Smita Agarwal (Refractive Specialist) and Dr. Aparna Rangia (Glaucoma Specialist) shared how they use iStent *inject* W and how they select and counsel patients in their respective practices so that no eye is left behind.

Glaukos Australia is the first organization to receive the “purple tick” for this event

from RANZCO Women in Ophthalmology as an endorsement for our commitment to gender equality and diversity of thought and excellence.



A/Prof Smita Agarwal



Dr. Ridia Lim



Dr. Aparna Rangia

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WORKPLACE HEALTH AND SAFETY

GRI 103-1; GRI 103-2; GRI 103-3; GRI 403-2; GRI 403-3; 403-5; GRI 403-7; GRI 403-9

The health and safety of our workforce is a significant priority to Glaukos. Creating a culture of safety and wellness provides employees an environment that allows them to be engaged and productive.

DEFINITION

Supporting healthy habits and building policies that promote occupant health and well-being holistically to help enhance performance and attendance.

MANAGEMENT APPROACH

We take great pride in creating a safe environment for our employees and prioritizing proper oversight to ensure the health and safety of our workforce. Our Senior Manager of Environmental Health & Safety (EH&S) is responsible for overseeing daily responsibilities related to employee health and safety. The EH&S Senior Manager reports directly to the Vice President of Operations. All our facilities, which include administrative, laboratory, and manufacturing space, are designed to ensure safety for our employees and visitors. Glaukos enacted and enforces the following policies intended to promote safety for our employees:

- Hazardous Waste Handling and Disposal
- Compressed Gas Cylinder Handling
- Respirator Protection Program
- Injury and Illness Prevention Program
- Chemical Hygiene Program
- Ergonomic Assessments

We established a cross-departmental Safety Committee to communicate safety information to their respective teams, act as their department's liaison to bring up safety concerns or questions, and work in collaboration with the Glaukos EH&S Senior Manager to improve safety within the organization.



Organization. The Glaukos EH&S Manager regularly conducts risk assessments and institutes controls intended to eliminate hazards and minimize risks.

Glaukos is committed to minimizing the risk of employee or contractor fatalities, high-consequence work-related injuries, and recordable work-related injuries, evidenced by our low lost time incident rate. In accordance with Glaukos' Incident Investigation Program, Glaukos investigates the cause and effect of any injury that occurs in the workplace and takes corrective action designed to avoid similar incidents from happening in the future. Root cause analysis is performed using the "5-Whys" process with the goal of identifying the corrective action most likely to prevent reoccurrence. We also have an injury and illness prevention plan (IIPP) that explains employee safety and actions we should be taking.

Comprehensive training is imperative to keep our workforce safe and prevent potential incidents. The safety training includes hazard communication, the use of personal protective equipment, injury and illness prevention, emergency response, and standard operating procedures. We train each employee to identify unsafe conditions and encourage them to report safety



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WORKPLACE HEALTH AND SAFETY

concerns to their supervisor, Human Resources or the Glaukos EH&S Senior Manager immediately. We promote an open-door policy so our workforce feels comfortable reporting safety concerns. We will continue to review measures that we can take to maintain our workplace safety and ensure a healthy environment for our employees.

In 2021, COVID-19 continued to spread in our communities. To limit its spread among our workforce, we offered employees onsite COVID-19 testing on a weekly basis at no cost. We also increased cleaning frequency at each of our sites, upgraded heating, ventilation, and air conditioning (HVAC) filters to MERV 13 and allowed non-essential employees to work remotely.

In 2022, we are formalizing our EH&S inspections focused on high-risk areas such as in clean rooms, warehouse areas, and wet labs within our manufacturing facilities. We are currently inspecting about 20 areas monthly, paying attention to emergency procedures, general safety areas, and electrical safety. We will also be conducting safety risk assessments in our highest risk areas, as well as assessing processes and tasks

to teach each group how to identify and mitigate risk. Through these efforts we increase our focus on taking a proactive approach to health and safety.

PROGRESS TOWARD OUR GOALS

In 2021, Glaukos achieved our goal to reduce our Lost Workday Rate by 10 percent. We did not have any lost time incidents making our lost time incident rate zero based on total incidents per 200,000 hours worked per 100 full time equivalent employees (FTE), well below the industry average¹ of 1.0.

In 2022, we set a new annual goal to implement at least one new initiative annually to mitigate the top risk identified in our annual health and safety risk assessment. Through our new target, we hope to minimize as much risk as possible to ensure the health and safety of our workforce.



To limit the spread of COVID-19 among our workforce, we offered employees onsite testing on a weekly basis at no cost.

¹ Based on the Bureau of Labor Statistics Ophthalmic Goods Manufacturing Industry

ENVIRONMENTAL

Environmental impact is a fundamental consideration across all Glaukos operations.



● = Completed

Goals Set in 2021	YE 2021 Status	Goals Set in 2022
ISO 14001 Certification for San Clemente campus by end of 2021	●	Expand ISO 14001 Certification to Burlington site by 2024
		Create greenhouse gas (GHG) inventory for Scope 1 and 2 GHG emissions data by 2023

ENVIRONMENTAL

GRI 103-1; GRI 103-2; GRI 103-3; SASB HC-MS-410a.1

Environmental impact is a fundamental consideration across all Glaukos operations. From formal initiatives and goals to promoting a culture of environmental consciousness, Glaukos has progressed in our aim to increase awareness of environmental impact while simultaneously decreasing our relative impact.

MANAGEMENT APPROACH

To mitigate our environmental impact, we continue to strive for efficiency throughout our operations, particularly in energy usage in our California facilities which accounts for most of our impact. We comply with California's Title 24 Building Energy Efficiency Standards for new construction and when making building modifications. Our Senior Manager of EH&S is responsible for overseeing environmental compliance associated with waste, emissions, and discharge of chemicals. The Senior Manager of EH&S provides regular reports on environmental-related information to the Vice President of Global Operations.

Glaukos conducts regular environmental risk assessments to identify and mitigate risk proactively. We monitor every risk to ensure we are in the best position to avoid negative impacts. Environmental risk assessments are part of Glaukos' commitment to robust external risk assessment. Most of the environmental risks identified by our assessments are negligible and immaterial to our current operations. Nevertheless, we continue to monitor them and assess how our continued growth as an organization and business will impact or be impacted by environmental risks. We also utilize our Environmental Management System (EMS) to minimize the effect our operations have on the environment. Our San Clemente EMS is certified to ISO 14001.

CLIMATE CHANGE RISKS AND OPPORTUNITIES

Currently, we do not consider climate change to be a significant risk to Glaukos' near-term business, nor do we believe that our operations create a material impact on the climate. We are pleased to report that we continued to adhere to the South Coast Air Quality Management Dis-

trict (AQMD) guidelines where applicable. We also have a Building Management System (BMS) in place at our Aliso Viejo facility with several features to reduce our environmental impact. We plan to expand our BMS to our San Clemente facility this year. We also plan to conduct a greenhouse gas inventory of scope 1 and 2 emissions to establish a baseline and develop strategies for reduction.

WASTE

Glaukos aims to reduce the amount of waste to landfills through recycling. All our sites recycle cardboard and paper. We also have recycling receptacles in break rooms to capture aluminum and plastic containers.

We periodically train our employees in the proper way to collect, handle and dispose of hazardous waste to prevent contamination. This year, we are beginning to evaluate bulking hazardous waste onsite options to minimize the frequency of waste disposal pickup trips and containers used.

WATER

Our water consumption is minimal as it is not a significant part of any of our manufacturing processes. We utilize water at our facilities for washrooms and landscaping. We expect our water use to rise slightly when we convert one of our San Clemente buildings to a new pharmaceutical manufacturing site, because the building will utilize chillers to provide cooling to the new clean room areas.

PROGRESS TOWARD OUR GOALS

In 2021, Glaukos achieved ISO 14001 certification at our San Clemente site. This year, we plan to begin working toward earning the certification at our Burlington site, with the goal of being certified by 2024. We also aim to create a greenhouse gas (GHG) inventory for scope 1 and 2 GHG emissions data by 2023 to establish a baseline for future GHG emissions reduction efforts.

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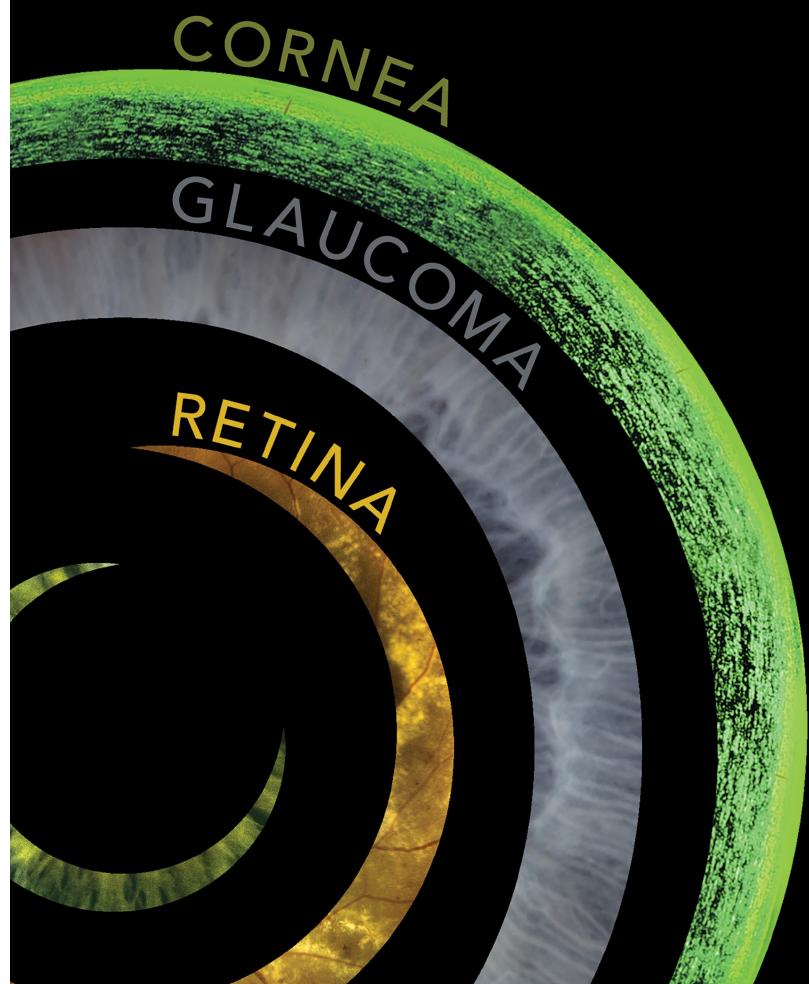
In 2021, we completed the construction of the Aliso Viejo headquarters. The new headquarters is compliant with California's Title 24 Building Energy Efficiency Standards. During the construction of the facilities, we took numerous measures intended to decrease Glaukos' footprint and increase organizational awareness of environmental conscientiousness.

Twenty electric vehicle charging stations and infrastructure to support up to 40 stations will be included onsite. We upgraded all existing parking lights to LEDs and installed motion sensor lights to avoid unnecessary energy use. We also installed automatic motorized shades that utilize a solar track system to regulate internal temperature and reduce energy usage. In addition, we have low water sinks and toilets as well as drought-tolerant plants for landscaping to reduce our water consumption. We continue to review upgrades available for our Aliso Viejo facility to decrease our environmental impact.

All building systems, including HVAC and Electrical, meet or exceed California Title 24 for sustainability and efficiency.

- HVAC systems are designed to take advantage of 100% outside air
- All occupied space receives air via MERV 13 air filters
- Lighting controls are state-of-the-art and include light harvesting and motion sensors
- Solar heat gain and loss throughout the campus is actively managed with automated solar tracking which controls each window blind
- Flooring materials were selected to meet Green Label Plus standards
- All building materials were selected to be designed with minimal VOCs
- Touch free hydration stations are distributed throughout
- Office space was designed to incorporate state of the art infection prevention and management practices
- Office furniture and seating were selected with product and material certifications, including but not limited to BIFMA, Blauer Engle, E1, EU Ecolabel, FEMB Level, NF Environment, China Environmental Label, Green Tick, Oeko Tex and SCS Indoor Advantage





APPENDIX

SUSTAINABILITY PROGRAM GOALS

 = Completed  = Partially Completed

Topic	Goals Set in 2021	YE 2021 Status	Goals Set in 2022
GOVERNANCE			
Ethics and Compliance	Completion of anti-bribery/anti-corruption training by 100% of new or renewing third-party distributors		Completion of anti-bribery/anti-corruption training by 100% of new or renewing third-party distributors
	Annual certification of Code of Conduct by 100% of employees		Annual certification of Code of Conduct by 100% of employees
Responsible Procurement Practices	In 2021, adopt supplier ESG responsibility standards		In 2023, reduce percentage of product transported via air by developing 2 nd site distribution center (2021 as baseline)
	In 2022, incorporate standards into 100% of new and renewing supplier agreement in 2022		In 2022, incorporate standards into 100% of new and renewing supplier agreements
Cybersecurity and Data Privacy	100% of users complete annual cybersecurity training		By 2025, formally track alignment of the information security program to relevant components of the NIST security framework based upon the risk to Glaukos and industry best practices
PRODUCTS			
Product Quality and Patient Safety	Zero product recalls		Zero product recalls
Product Innovation	FDA submission of pipeline technologies that would allow us to meet our publicly stated targets for FDA approvals		FDA submission of pipeline technologies that would allow us to meet our publicly stated targets for FDA approvals
Access, Affordability, and Pricing	Provide product in support of underserved patient populations		Increase communication and education efforts around Glaukos' Patient Assistant Program in the US., as well as donations of our products to underserved patients globally
Protection of Intellectual Property	Annual review of existing IP rights and IP strategy		Annual review of existing IP rights and IP strategy
SOCIAL			
Talent Attraction, Development, Engagement, and Retention	Implement new employee engagement survey in 2021 and achieve 75% employee participation with engagement scores at industry benchmark or higher		Based on the 2022 Great Places to Work engagement survey results, identify areas of opportunity; communicate and measure progress against improvement areas in 2023
	Create a flexible work task force and implement flexible work arrangements in 2021		Implement flexible work arrangements in 2022
Diversity and Inclusion	In 2021, form diversity, equity and inclusion (DEI) taskforce with executive sponsor to champion diversity initiatives		As led by DEI forum, identify and implement at least two company-wide initiatives and success measures that will expand Glaukos' approach to diversity, equity and inclusion by 2024
Workplace Health and Safety	10% reduction in Lost Work Day Rate by end of 2023		Conduct an annual health and safety risk assessment and implement at least one new initiative annually to mitigate the top identified risk
ENVIRONMENTAL			
	ISO 14001 Certification for San Clemente campus by end of 2021		Expand ISO 14001 Certification to Burlington site by 2024
			Create greenhouse gas (GHG) inventory for Scope 1 and 2 GHG emissions data by 2023

METRICS AT A GLANCE

These metrics represent a good faith estimate by the Company of Glaukos' historical calendar year data using methodology and processes we currently believe are appropriate. These methodology and processes are periodically reviewed and evaluated. The metrics include all Glaukos locations globally unless otherwise stated.

Topic	Metric	2021	2020	2019	2018
Social					
	Equal opportunity policy which can be found here (Y/N)	Yes	Yes	Yes	Yes
	Board makeup by gender (%)				
	Female	38%	14%	14%	14%
	Male	62%	86%	86%	86%
	Board makeup by race/ethnicity (%)				
	White	75%	100%	100%	100%
	Asian	12.5%	0%	0	0
	Hispanic/Latino	12.5%	0%	0	0
	Senior management by gender ¹ (%)				
	Female	36%	36%	30%	30%
	Male	64%	64%	70%	70%
Diversity and Inclusion					
	Workforce by gender (%)				
	Female	37%	37%	40%	37%
	Male	63%	63%	60%	63%
	U.S. workforce by race/ethnicity ² (%)				
	White/Non-Hispanic	58%	61%	±	±
	Asian	23%	21%	±	±
	Hispanic/Latino	12%	14%	±	±
	Black/African American	1%	1%	±	±
	Native Hawaiian or other Pacific Islander	1%	0%	±	±
	Two or more races	5%	3%	±	±
	Workforce by age ³ (%)				
	Under 30	11%	10%	±	±
	30-50	57%	58%	±	±
	50+	32%	32%	±	±

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These metrics represent a good faith estimate by the Company of Glaukos' historical calendar year data using methodology and processes we currently believe are appropriate. These methodology and processes are periodically reviewed and evaluated. The metrics include all Glaukos locations globally unless otherwise stated.

Topic	Metric	2021	2020	2019	2018
Social					
Talent Attraction, Development, Engagement, and Retention	Number of employees	727	640	642	438
	International	113	106	±	±
	United States	614	534	±	±
	Number of salary employees	586	524	±	±
	Number of hourly employees	141	116	±	±
	Total New Hires ⁴	179	99	±	±
	U.S. Based	87%	83%	±	±
	International	13%	17%	±	±
	Female	43%	40%	±	±
	Male	57%	60%	±	±
	From Underrepresented Communities ⁵ (in the U.S.)	50%	46%	±	±
	Total Promotions	98	51	±	±
	U.S. Based	95%	±	±	±
	International	5%	±	±	±
	Female	37%	35%	±	±
	Male	63%	65%	±	±
	From Underrepresented Communities ⁵ (in the U.S.)	53%	±	±	±
	Turnover				
Parental Leave Statistics	Voluntary turnover rate (%)	12.95%	9.01%	±	±
	Involuntary	0.74%	7.46%	±	±
	Eligible in 2021	31	8	±	±
	Used in 2021	31	8	±	±
	Returned during the year (%)	81%	100%	±	±
	Continued to be employees at year end (%)	84%	100%	±	±
	Male	42%	50%	±	±
	Female	58%	50%	±	±
	Percentage of employees who completed the annual employee survey (%)	82%	± ⁶	±	±

METRICS AT A GLANCE

These metrics represent a good faith estimate by the Company of Glaukos' historical calendar year data using methodology and processes we currently believe are appropriate. These methodology and processes are periodically reviewed and evaluated. The metrics include all Glaukos locations globally unless otherwise stated.

Topic	Metric	2021	2020	2019	2018
Social					
Workforce Health and Safety	Number of employee or contractor fatalities	0	0	0	0
	Number of high-consequence work-related injuries	0	0	0	0
	Lost time incident rate (total incidents per 200,000 hours worked/ per 100 full time equivalent employees)	0	0.20	±	±
	Recordable incident rate (total incidents per 200,000 hours worked/ per 100 FTE)	0.17	±	±	±
Product					
Access, Affordability, and Pricing	Value Product donations (amount in USD of products donated to benefit underserved patients)	\$7.4 million	\$3.5 million	±	±
	Number of countries with patients benefitting from product donations	45	45	±	±
	Number of partnerships with humanitarian organizations	110+	107	±	±
	Cumulative hours in PTO bank donated to date to assist other employees in need	>3,000	>3,000	±	±
Product Innovation	For information regarding currently anticipated new product launches, please see our filings with the U.S. Securities and Exchange Commission, accessible here				
Product Quality and Patient Safety	Number of product recalls or take-backs	0	0	0	0
	Number of products listed on the FDA's MedWatch Safety Alerts for Human Medical Products database	0	0	0	0
	Number of fatalities related to products	0	0	0	0
	Number of FDA enforcement actions taken in response to violations of current Good Manufacturing Practices (cGMP)	0	0	0	0
	Percentage of significant product and service categories for which health and safety impacts are assessed for improvement	100%	100%	100%	100%
Governance					
Ethics and Compliance	Percentage of new or renewing third-party distributors who completed our anti-bribery/anti-corruption training.	100%	±	±	±
	Percentage of employees who completed annual certification of our Code of Conduct	100%	±	±	±

METRICS AT A GLANCE

These metrics represent a good faith estimate by the Company of Glaukos' historical calendar year data using methodology and processes we currently believe are appropriate. These methodology and processes are periodically reviewed and evaluated. The metrics include all Glaukos locations globally unless otherwise stated.

Topic	Metric	2021	2020	2019	2018
Environmental^{1,2,9}					
Energy	Total energy consumption (in kwh)	1,733,293	1,583,630	1,487,364	1,235,180
	Energy consumption per \$100,000 of sales (kWh/\$100,000)	590	704	628	682
	Renewable sources of energy ⁸ (%)	45%	45%	±	±
Water	Water consumption (gallons)	1,455,608	1,152,668	1,577,741	1,332,936
	Safe disposal of wastewater (y/n)	Yes	Yes	Yes	Yes
	Water consumption per \$100,000 of sales (Gal/\$100,000)	628	643	683	736
Waste	Hazardous waste	11,277 lbs.	9,561 lbs.	8,974 lbs.	6,145 lbs.
	Safe disposal of electronic waste (y/n)	Yes	Yes	Yes	Yes
Gas	Total usage (therms)	9,325	8,207	4,691	2,327
	Gas usage per \$100,000 of sales (therms/\$100,000)	3.16	3.65	1.98	1.29

± Information not tracked for these years.

¹ Senior management includes members of senior management that participate in senior leadership weekly meetings. Most, but not all, of these individuals report to Tom Burns, CEO and Chairman of the Board. Data for 2018-2020 has been restated for consistency.

² 2021 and 2020 data for these categories reflect US-only workforce information, self-reported by our employees. The numbers presented in the 2020 Sustainability report also represented US-only data, rather than global workforce data.

³ We have restated our 2020 numbers to more accurately reflect tracking the employee population from the Avedro acquisition; the 2021 numbers use the same consistent methodology.

⁴ We have restated our 2020 numbers to more accurately reflect tracking the employee population from the Avedro acquisition; the 2021 numbers use the same consistent methodology.

⁵ Underrepresented communities are defined as including persons who self-identify as Black, African American, Hispanic, Latino, Asian, Pacific Islander, Native American, Native Hawaiian, and Alaska Native.

⁶ Data previously reported for 2020 related to participation in our performance check-in process.

⁷ Environmental data has been restated for previous years [2020-2018] due to a revision in the calculation methodology; the 2021 numbers use the same consistent methodology. In addition, data previously reported only included San Clemente; now it has been restated to include Burlington data, beginning in November 2019, the date of the Avedro acquisition. Water for the Burlington site is included in our lease and not included here.

⁸ We are unable to track the exact percentage of our energy that derives from renewable sources. However, our energy provider for San Clemente, San Diego Gas & Electric, has indicated that it obtains 45% of its electrical generation from renewable sources: <https://www.sdge.com/more-information/environment/sustainability-approach>. No information was available from our Burlington provider.

⁹ Trends Noted: Our energy consumption rose in 2020 due to inclusion of the full year of Burlington data, and again in 2021, primarily due to the addition of carrier refrigeration systems in San Clemente associated with new R&D pharmaceutical projects and clinical trials. Our hazardous waste rose in 2021 as a result of disposal of chemicals in conjunction with our move from San Clemente to our new facilities in Aliso Viejo. Gas usage rose in 2020 due to inclusion of the full year of Burlington data, and again in 2021, due to the return of more workers to our facilities. Water consumption fell in 2020 due to COVID-19 and the significant number of remote workers and rose again in 2021 as more workers returned to our facilities.

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GRI AND SASB CONTENT INDEX

Summarized below are the GRI and SASB disclosures included in the Glaukos 2021 Sustainability Report. The report is informed by GRI and SASB standards but is not currently intended to align with them. The SASB Sustainability Accounting Standards that are referenced herein are drawn from the Biotechnology & Pharmaceuticals (HC-BP) and Medical Equipment & Supplies (HC-MS) industry standards.

Framework	Disclosure	Location/Response
General Disclosures		
Organizational Profile		
GRI	102-1 Name of the Organization	Glaukos Corp.
	102-2 Activities, brands, products, and services	Our Targeted Patient Populations & Novel Platforms
	102-3 Location of headquarters	Our Story
	102-4 Location of operations	Our Story
	102-5 Ownership and legal form	Our Story
	102-6 Markets served	2021 Form 10-K page 6 & Our Story
	102-9 Supply chain	Responsible Procurement Practices
	102-10 Significant changes to the organization and its supply chain	2021 Form 10-K page 7 No significant changes to Glaukos' operations and its supply chain in 2021
Strategy		
GRI	102-14 Statement from senior decision-maker	A Message from our President & CEO
Ethics & Integrity		
GRI	102-16 Values, principles, standards, and norms of behavior	Ethics & Compliance
	102-17 Mechanisms for advice and concerns about ethics	Ethics & Compliance
Governance		
GRI	102-18 Governance Structure	Sustainability Program Design
	102-19 Delegating authority	Sustainability Program Design
	102-20 Executive-level responsibility for economic, environmental, and social topics	Sustainability Program Design
Stakeholder Engagement		
GRI	102-40 List of stakeholder groups	Our stakeholders include customers, employee and non-employee workers, suppliers, shareholders and other providers of capital, local communities and civil society.
	102-41 Collective bargaining agreements	0%

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General Disclosures		
<i>Reporting Practice</i>		
GRI	102-47 List of material topics	Sustainability Program Design
	102-48 Restatements of information	Any restatements of information have been footnoted within the report.
	102-49 Changes in reporting	Glaukos has no significant changes in reporting this year.
	102-50 Reporting period	About our Report
	102-51 Date of most recent report	About our Report
	102-52 Reporting cycle	About our Report
	102-53 Contact point for questions regarding the report	About our Report
	102-55 GRI content index	GRI & SASB Content Index
Topic Disclosures		
<i>Ethics & Compliance</i>		
GRI	103-1, 103-2, 103-3 Ethics & Compliance Management Approach	Ethics & Compliance
SASB	HC-BP-510a.2	Ethics & Compliance
	HC-MS-510a.2	Ethics & Compliance
<i>Responsible Procurement Practices</i>		
GRI	103-1, 103-2, 103-3 Responsible Procurement Practices Management Approach	Responsible Procurement Practices
	308-1 New suppliers that were screened using environmental criteria	Responsible Procurement Practices
	414-1 New suppliers that were screened using social criteria	Responsible Procurement Practices
	HC-BP-430a.1	Responsible Procurement Practices
SASB	HC-MS-430a.1	Responsible Procurement Practices
	HC-MS-430a.2	Responsible Procurement Practices
	HC-MS-430a.3	Responsible Procurement Practices
<i>Cybersecurity & Data Privacy</i>		
GRI	103-1, 103-2, 103-3 Cybersecurity & Data Privacy Management Approach	Cybersecurity & Data Privacy

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Framework	Disclosure	Location/Response
<i>Product Quality & Patient Safety</i>		
GRI	103-1, 103-2, 103-3 Product Quality & Patient Safety Management Approach	Product Quality & Patient Safety
	416-1 Assessment of the health and safety impacts of product and service categories	Metrics-at-a-Glance
	416-2 Incidents of non-compliance concerning the health and safety impacts of products and services	Product Quality & Patient Safety
SASB	HC-BP-250a.1	Metrics-at-a-Glance
	HC-BP-250a.2	Metrics-at-a-Glance
	HC-BP-250a.3	Metrics-at-a-Glance
	HC-BP-250a.4	Metrics-at-a-Glance
	HC-BP-250a.5	Metrics-at-a-Glance
	HC-MS-250a.1	Metrics-at-a-Glance
	HC-MS-250a.2	Metrics-at-a-Glance
	HC-MS-250a.3	Metrics-at-a-Glance
	HC-MS-250a.4	Metrics-at-a-Glance
	HC-MS-410a.2	Product Quality & Patient Safety
<i>Product Innovation</i>		
GRI	103-1, 103-2, 103-3 Product Innovation Management Approach	Product Innovation
<i>Access Affordability & Pricing</i>		
GRI	103-1, 103-2, 103-3 Access, Affordability & Pricing Management Approach	Access, Affordability & Pricing
SASB	HC-BP-240b.2	Access, Affordability & Pricing
<i>Protection of Intellectual Property</i>		
GRI	103-1, 103-2, 103-3 Protection of Intellectual Property Management Approach	Protection of Intellectual Property

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Framework	Disclosure	Location/Response
<i>Talent Attraction, Development, Engagement & Retention</i>		
GRI	103-1, 103-2, 103-3 Talent Attraction, Development, Engagement & Retention Management Approach	Talent, Attraction, Development, & Retention
	401-1 New employee hires and employee turnover	Metrics-at-a-Glance <i>Data reported as new hires by gender and region</i>
	401-3 Parental leave	Metrics-at-a-Glance
	404-2 Programs for upgrading employee skills and transition assistance programs	Talent, Attraction, Development, & Retention
<i>Diversity & Inclusion</i>		
GRI	103-1, 103-2, 103-3 Diversity & Inclusion Management Approach	Diversity & Inclusion
	405-1 Diversity of governance bodies and employees	Metrics-at-a-Glance
<i>Workforce Health & Safety</i>		
GRI	103-1, 103-2, 103-3 Workforce Health & Safety Management Approach	Workforce Health & Safety
	403-2 Hazard identification, risk assessment, and incident investigation	Workforce Health & Safety
	403-3 Occupational health services	Workforce Health & Safety
	403-5 Worker training on occupational health and safety	Workforce Health & Safety
	403-7 Prevention and mitigation of occupational health and safety impacts directly linked by business relationships	Workforce Health & Safety
	403-9 Work-related injuries	Workforce Health & Safety
<i>Environmental</i>		
GRI	103-1, 103-2, 103-3 Environmental Management Approach	Environmental
SASB	HC-MS-410a.1	Environmental