

GRI content index

GRI 102: General Disclosures 2016

GRI Number	Description	M/V*	Location Reference	Boundary	Comment
Organizational Profile					
102-1	Name of the organization	M	Front (first) page	Not applicable.	
102-2	Activities, brands, products, and services	M	ConvaTec at a Glance (pages 02–03) and within the Annual Report	Relevant to Group as a whole, customers and others.	Extensive information is contained in the Annual Report.
102-3	Location of headquarters	M	Rear (final) page	Not applicable.	
102-4	Location of operations	M	Main locations (page 46)	Relevant to Group as a whole and governments of relevant countries and local communities.	
102-5	Ownership and legal form	M	Cross-referenced to Annual Report (from page 13)	Relevant to Group as a whole and investors.	
102-6	Markets served	M	ConvaTec at a Glance (pages 02–03)	Relevant to Group as a whole, customers and others.	
102-7	Scale of the organization	M	ConvaTec at a Glance (pages 02–03) and other pages	Not applicable.	
102-8	Information on employees and other workers	M	Enabling our People (pages 25, 26–30)	Relevant to employees of the Group, and workers at contract manufacturers and suppliers.	
102-9	Supply chain	M	Working Responsibly with Partners (pages 31–33)	Relevant to employees of the Group, and workers at contract manufacturers and suppliers.	
102-10	Significant changes to the organization and its supply chain	M	ConvaTec at a Glance (pages 02–03)	Relevant to Group as a whole and stakeholders impacted by those changes – largely employees (see Enabling our People – page 25).	There have been no significant changes to the organisation and its supply chain. Relocation of production from US to Dominican Republic covered on page 21.
102-11	Precautionary Principle or approach	M	Conserving the Planet (pages 34–35) and Product Safety (pages 20–21)	Relevant to Group products and services development, and supply chain assessment.	
102-12	External initiatives	M	Our Approach to Corporate Responsibility (pages 07–12), Chairman's Statement (page 04), and references to UN initiatives throughout	Relevant to the Group and to stakeholders involved in the specific initiatives e.g. the UN SDGs.	We are committed to the UNGC Principles.
102-13	Membership of associations	M	Behaving ethically and transparently (page 41)	Relevant to the Group and to other members of the relevant associations, and other stakeholders.	We are members of trade bodies in most markets where we operate. We have been particularly involved with MedTech Europe and AdvMed in the US.
Strategy					
102-14	Statement from senior decision-maker	M	Statements from Group Chairman (see page 04) and Group CEO (see page 05)	Not applicable.	
102-15	Key impacts, risks, and opportunities	V	Materiality (see page 10) and Context for Strategy (page 12)	Relevant to the Group and all relevant stakeholders.	
Ethics and Integrity					
102-16	Values, principles, standards, and norms of behavior	M	Strategy, Governance and a Values-based Culture (see pages 12–13), Behaving Ethically (see pages 40–41) and Enabling our People (pages 25–30)	Relevant to the Group and all relevant stakeholders, particularly employees.	
102-17	Mechanisms for advice and concerns about ethics	V	Behaving Ethically (see page 41) on whistle-blowing and training	Relevant to the Group and all relevant stakeholders, particularly employees.	

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GRI Number	Description	M/V*	Location Reference	Boundary	Comment
Governance					
102-18	Governance structure	M	Governance (see page 13) and cross-reference to Annual Report for overall governance	Relevant to the Group, and particularly to investors, and specialist investment analysts.	
102-19	Delegating authority	V	Governance (see page 13)	Relevant to the Group, and particularly to investors, and specialist investment analysts.	
102-20	Executive-level responsibility for economic, environmental, and social topics	V	Governance (see page 13)	Relevant to the Group, and particularly to investors, and specialist investment analysts.	
102-21	Consulting stakeholders on economic, environmental, and social topics	V	Governance (see page 13), Materiality (page 10) and How we create value (page 08)	Relevant to the Group, and particularly to investors, and specialist investment analysts.	
102-22	Composition of the highest governance body and its committees	V	Governance (page 13) – cross-reference to Annual Report	Relevant to the Group, and particularly to investors, and specialist investment analysts.	
102-23	Chair of the highest governance body	V	Governance (page 13) – cross-reference to Annual Report, and Chairman's Statement (page 04)	Relevant to the Group, and particularly to investors, and specialist investment analysts.	
102-24	Nominating and selecting the highest governance body	V	Governance (page 13) – cross-reference to Annual Report	Relevant to the Group, and particularly to investors, and specialist investment analysts.	
102-25	Conflicts of interest	V	Governance (page 13) – cross-reference to Annual Report	Relevant to the Group, and particularly to investors, and specialist investment analysts.	
102-26	Role of highest governance body in setting purpose, values, and strategy	V	Governance (page 13) – cross-reference to Annual Report	Relevant to the Group, and particularly to investors, and specialist investment analysts.	
102-27	Collective knowledge of highest governance body	V	Governance (page 13) – cross-reference to CR Committee report in Annual Report	Relevant to the Group, and particularly to investors, and specialist investment analysts.	Reporting to CR Committee of the Board and 1 to 1 briefings of new Non-Executive Directors.
102-28	Evaluating the highest governance body's performance	V	Governance (page 13) – cross-reference to Annual Report	Relevant to the Group, and particularly to investors, and specialist investment analysts.	Board has assessed its effectiveness during the year.
102-29	Identifying and managing economic, environmental, and social impacts	V	Governance (page 13) – cross-reference to Annual Report	Relevant to the Group, and particularly to investors, and specialist investment analysts.	
102-30	Effectiveness of risk management processes	V	Governance (page 13) and cross-reference to Audit and Risk Committee report in the Annual Report	Relevant to the Group, and particularly to investors, and specialist investment analysts.	
102-31	Review of economic, environmental, and social topics	V	Governance (page 13) – cross-reference to CR Committee report in Annual Report	Relevant to the Group, and particularly to investors, and specialist investment analysts.	
102-32	Highest governance body's role in sustainability reporting	V	Governance (page 13) – cross-reference to CR Committee report in Annual Report	Relevant to the Group, and particularly to investors, and specialist investment analysts.	
102-33	Communicating critical concerns	V	Not reported		
102-34	Nature and total number of critical concerns	V	Not reported		
102-35	Remuneration policies	V	Governance (page 13) and cross-reference to Remuneration Committee report in the Annual Report	Relevant to the Group, and particularly to investors, and specialist investment analysts.	
102-36	Process for determining remuneration	V	Governance (page 13) and cross-reference to Remuneration Committee report in the Annual Report	Relevant to the Group, and particularly to investors, and specialist investment analysts.	
102-37	Stakeholders' involvement in remuneration	V	Governance (page 13) and cross-reference to Remuneration Committee report in the Annual Report	Relevant to the Group, and particularly to investors, and specialist investment analysts.	
102-38	Annual total compensation ratio	V	Not reported		
102-39	Percentage increase in annual total compensation ratio	V	Not reported		

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GRI Number	Description	M/V*	Location Reference	Boundary	Comment
Stakeholder Engagement					
102-40	List of stakeholder groups	M	Stakeholders (see pages 08–09), and throughout Report	Relevant to the Group.	
102-41	Collective bargaining agreements	M	Enabling our People (page 27)	Relevant to the Group, its employees and unions/works councils.	
102-42	Identifying and selecting stakeholders	M	Stakeholders (see pages 08–09), Materiality (page 10) and throughout Report	Relevant to the Group.	
102-43	Approach to stakeholder engagement	M	Stakeholders (see pages 08–09), and throughout Report	Relevant to the Group.	
102-44	Key topics and concerns raised	M	Stakeholders (see pages 08–09), Materiality (page 10) and throughout Report	Relevant to the Group.	
Reporting Practice					
102-45	Entities included in the consolidated financial statements	M	Report scope (page 01), Reporting principles (page 43) and cross-reference to Annual Report	Relevant to the Group and parties interested in our CR performance.	
102-46	Defining report content and topic boundaries	M	Reporting principles (page 43), Materiality page 10, and this GRI content table	Relevant to the Group and parties interested in our CR performance.	
102-47	List of material topics	M	Materiality (page 10)	Relevant to the Group and parties interested in our CR performance.	
102-48	Restatements of information	M	Reporting principles/ comparability (page 44)	Relevant to the Group and parties interested in our CR performance.	
102-49	Changes in reporting	M	Reporting principles (page 43), Reporting on our climate-related emissions (page 45)	Relevant to the Group and parties interested in our CR performance.	
102-50	Reporting period	M	About this report (page 01)	Relevant to the Group and parties interested in our CR performance.	
102-51	Date of most recent report	M	About this report (page 01)	Relevant to the Group and parties interested in our CR performance.	
102-52	Reporting cycle	M	About this report (page 01)	Relevant to the Group and parties interested in our CR performance.	
102-53	Contact point for questions regarding the report	M	Rear cover/final page	Relevant to the Group and parties interested in our CR performance.	
102-54	Claims of reporting in accordance with the GRI Standards	M	Transparency (page 42) and Reporting principles (page 43) and CEO Statement (page 05)	Relevant to the Group and parties interested in our CR performance.	
102-55	GRI content index	M	Cross reference to separate document	Relevant to the Group and parties interested in our CR performance.	This is the GRI content index.
102-56	External assurance	M	Transparency (page 42) and reporting principles (page 44)	Relevant to the Group and parties interested in our CR performance.	

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Specific Disclosures – in order of materiality

Material Issue/KPIs	GRI Reference (or ConvaTec KPI)	Location Reference	Boundary	Measured/Estimated	Comment
Product/User Safety					
Number of quality audits conducted	CTEC KPI	Delivering for Customers/Product and User Safety (page 20)	Of critical importance to commercial success and reputation. Critically important for users and customers, and overseen by regulators. Quality audits include own operations, contract manufacturers and suppliers.	M	
Number of product recalls enacted (voluntary and directed)	CTEC KPI	Delivering for Customers/Product and User Safety (page 21)	Of critical importance to commercial success and reputation. Critically important for users and customers, and overseen by regulators. Covers all products.	M	
Products assessed from H&S perspective	416-1	Delivering for Customers/Product and User Safety (page 20)	Of critical importance to commercial success and reputation. Critically important for users and customers, and overseen by regulators.	N/A	ALL products are assessed for H&S but some to a greater extent than others (e.g. invasive products versus wipes).
Incidents of non-compliance with regulations and/or voluntary codes concerning the health and safety impacts of products and services	416-2	Delivering for Customers/Product and User Safety (page 21)	Of critical importance to commercial success and reputation. Critically important for users and customers, and overseen by regulators. Covers all products.	M	
Product-related compliance					
Incidents of non-compliance with regulations and/or voluntary codes concerning product and service information and labeling	417-2	Delivering for Customers/Product and User Safety (page 21)	Of critical importance to commercial success and reputation. Critically important for users and customers, and overseen by regulators. Covers all products.	M	
Incidents of non-compliance with regulations and/or voluntary codes concerning marketing communications, including advertising, promotion, and sponsorship	417-3	Delivering for Customers/Product and User Safety (page 21)	Of critical importance to commercial success and reputation. Critically important for users and customers, and overseen by regulators. Covers all products.	M	
Number of clinical trials conducted	CTEC KPI	Delivering for Customers/Product and User Safety (page 20)	Of critical importance to commercial success and reputation. Critically important for users and customers, and overseen by regulators. Covers all relevant product development activities.	M	

Material Issue/KPIs	GRI Reference (or ConvaTec KPI)	Location Reference	Boundary	Measured/ Estimated	Comment
Product Efficacy and Innovation					
Spend on Research and Development	CTEC KPI	Delivering for Customers/Efficacy and Innovation (page 19)	Of critical importance to commercial success and reputation. Critically important for users and customers, and Health Care Professionals (HCPs). Covers all company R&D activities.	M	
Number of new products launched	CTEC KPI	Delivering for Customers/Efficacy and Innovation (page 19)	Of critical importance to commercial success and reputation. Critically important for users and customers, and Health Care Professionals (HCPs). Covers all company R&D activities.	M	<i>Public target set.</i>
Number of products in development pipeline	CTEC KPI	Delivering for Customers/Efficacy and Innovation (page 19)	Of critical importance to commercial success and reputation. Critically important for users and customers, and Health Care Professionals (HCPs). Covers all company R&D activities.	M	
Ethical Sales and Marketing					
GRI 205: Anti-corruption 2016					
Number and percentage of business partners that the organization's anti-corruption policies and procedures have been communicated to.	205-2c	Working Responsibly with Partners/ Downstream – Third party agents and distributors (page 32)	Highly relevant to third party agents and distributors as well as customers/buying organisations, and to our reputation.	M	We disclose the number of organisations which have received training on our Third Party Compliance Manual which covers our policies and procedures.
The number of third party sales and marketing organisations subject to due diligence	CTEC KPI	Working Responsibly with Partners/ Downstream – Third party agents and distributors (page 32)	Highly relevant to third party agents and distributors as well as customers/buying organisations, and to our reputation.	M	
Reliability of Product Supply					
No indicator currently defined	(see comment)	Delivering for Customers/Reliability of Supply (page 21)	Covers all products and services delivered to end-users.	N/A	We have described our management approach, and highlighted challenges experienced during the year but we believe disclosure of our own management KPIs on this topic is highly commercially sensitive and therefore confidential. We will continue to explore options for quantitative reporting.
Health, Safety and Well-being					
GRI 403: Occupational health and safety 2016					
Injury rate (IR), lost day rate (LDR), and work-related fatalities	403-2a	Enabling our People/ Health and Safety (page 28)	The data covers employees at our manufacturing locations and certain offices and distribution centres. Not all office locations are currently covered but this will be remedied in 2018 (a public target has been set).	M	At this stage, together with the scope limitation under 'Boundary' our systems do not separately capture 'occupational disease rate' or 'absentee rate', or break incidents down by region, or gender. Our new incident reporting system is being rolled out in 2018. <i>Public target set.</i>

Material Issue/KPIs	GRI Reference (or ConvaTec KPI)	Location Reference	Boundary	Measured/ Estimated	Comment
Access to Healthcare					
Number of countries where our products are sold	CTEC KPI	Delivering for Customers/ Access to healthcare (page 22)	Important for commercial success and for customers and HCPs. Covers the whole company.	M	Whilst we have reported a KPI in relation to 'Access' we will continue to work on defining improved KPIs for future reporting on this topic.
Openness and Transparency					
Rating of quality of disclosure by various third parties	CTEC KPI	Behaving Ethically and Transparently/ Transparency (page 42)	Important for the Group's reputation and to investors and specialist investment analysts. Covers all engagement and reporting/disclosure activities across the company.	M	<i>Public target set.</i>
Anti-Bribery and Corruption					
GRI 205: Anti-corruption 2016					
Number and percentage of operations assessed for risks related to corruption	205-1	Behaving Ethically and Transparently/Policies, procedures and resources (page 41)	Applies to all operations and activities of the company.	M	All (5) regional Compliance Officers conduct risk assessments of their geographical areas annually.
Communication and training about anti-corruption policies and procedures	205-2a, b, d, e	Behaving Ethically and Transparently/Policies, procedures and resources (page 41)		M/E	Note: membership of Governance bodies, and employees, are not broken down by region for the purpose of capturing training completion data. As we aim for 100% coverage, this is not relevant.
GRI 415: Public policy 2016					
Political contributions	415-1	Behaving Ethically and Transparently/Political relationships (page 41)	Important for our reputation and relevant to governments of the countries where our operations are based. Applies to all our operations and businesses.	M	
Human Rights in the Supply Chain					
GRI 414: Supplier social assessment 2016					
New suppliers that were screened using social criteria	414-1	Working Responsibly with Partners/Upstream – Suppliers (pages 32–33)	Important for our commercial performance and reputation and involving our suppliers and their employees.		All new suppliers are required to sign our Code of Conduct. As our supplier assessment programme was launched during the year, we have not yet applied this to new suppliers. Going forward 'key' suppliers will be assessed.
Negative social impacts in the supply chain and actions taken	414-2	Working Responsibly with Partners/Upstream – Suppliers (pages 32–33)	Important for our commercial performance and reputation and involving our suppliers and their employees. Covers all suppliers on a risk basis.	M	
Number of suppliers assessed and performance levels	CTEC KPI	Working Responsibly with Partners/Upstream – Suppliers (pages 32–33)	Important for our commercial performance and reputation and involving our suppliers and their employees. Covers all suppliers on a risk basis.	M	<i>Public target set.</i>

Material Issue/KPIs	GRI Reference (or ConvaTec KPI)	Location Reference	Boundary	Measured/ Estimated	Comment
Privacy and Data Security					
Substantiated complaints concerning breaches of customer privacy and losses of customer data	GRI 418: Customer privacy 2016 418-1	Delivering for Customers/Data privacy (page 22)	Important for our commercial success and for our customers. Covers all businesses and relevant activities.	M	
Percentage of relevant employees completing data privacy awareness training.	CTEC KPI	Delivering for Customers/Data privacy (page 22)	Important for our commercial success and for our customers. Covers all businesses and relevant activities.	M	
Stakeholder engagement					
Number of people enrolled in me+™ support programmes	CTEC KPI	Delivering for Customers/ stakeholder engagement (page 17)	Important for our commercial success and for our customers – currently rolling out in US and Europe.		
Patient View ranking	CTEC KPI	Delivering for Customers/ stakeholder engagement (page 16)	Important for our commercial success and for our customers – global survey.		<i>Public target set.</i>
Product Life Cycle Impacts (environment)					
The number of products assessed	CTEC KPI	Conserving the Planet/ Product lifecycle impacts (page 39)	Relates to products sold that contribute to our revenue total.	M	<i>Public target set.</i> In 2017, our first assessment was completed.
Quantification of impacts	CTEC KPI	Conserving the Planet/ Product lifecycle impacts (page 39)	The LCAs involve data from both our own manufacturing operations but also upstream and downstream manufacturers, raw materials suppliers and distribution businesses.	M/E	Certain elements of the LCAs are based on measured impacts and these are integrated with estimated and extrapolated data where necessary and appropriate.
Operations-based Working Conditions					
New employee hires and employee turnover	GRI 401: Employment 2016 401-1	Enabling our People (page 26)	Relates to all new hires, and leavers. Turnover calculated on the basis of headcount of all ConvaTec businesses at the year end. Does not include contingent staff which are disclosed separately.	M	
Percentage of employees receiving regular performance and career development reviews	GRI 404: Training and education 2016 404-3	Enabling our People/ Developing our People (page 30)	Relates to all permanent employees of ConvaTec businesses.	M	We currently do not report this information by gender but aim to do so in the future.
Diversity and Discrimination					
Diversity of governance bodies and employees	GRI 405: Diversity and equal opportunity 2016 405-1	Enabling our People/ Diversity (pages 29–30)	Key ConvaTec governance bodies (the Board, and the Executive Committee) and all permanent employees.	M	Details on individual Board and Executive Committee members are also provided in the Annual Report and our webpages – https://www.convatecgroup.com/about-us/board-of-directors/ <i>Public target set.</i>
Ratio of basic salary and remuneration of women to men	405-2	Cross-reference to Annual Report on page 30.	Relates to all ConvaTec employees.		Reporting made under requirements of UK gender pay gap reporting legislation.

Material Issue/KPIs	GRI Reference (or ConvaTec KPI)	Location Reference	Boundary	Measured/ Estimated	Comment
Waste Management and Recycling					
Waste by type and disposal method	GRI 306: Effluents and waste 2016 306-2	Conserving the Planet/ Management of Waste (page 38)	Manufacturing facilities only.	M/E	
Economic Contribution					
Direct economic value generated and distributed	GRI 201: Economic performance 2016 201-1	Making a Socio-economic Contribution (page 23)	Based on financial data reported through the 2017 ConvaTec Group Plc Annual Report.	M	
GRI 419: Socio-economic compliance 2016					
Non-compliance with laws and regulations in the social and economic area	419-1	Behaving Ethically and Transparently/Legal Compliance (page 41)	All ConvaTec operations and businesses.	M	
GRI 307: Environmental compliance 2016					
Non-compliance with environmental laws and regulations	307-1	Behaving Ethically and Transparently/Legal Compliance (page 41)	All ConvaTec operations and businesses.	M	
Energy Use and Climate Change					
Financial implications and other risks and opportunities due to climate change	GRI 201: Economic performance 2016 201-2	Conserving the Planet/ Energy and Climate Change (pages 35–37)	All ConvaTec operations and businesses.	NA	Investments in reducing climate change risk are largely historic. No significant additional investment in 2017.
GRI 302: Energy 2016					
Energy consumption within the organization	302-1	Conserving the Planet/ Energy and Climate Change (pages 35–37)	As set out on pages 35–37 of the Report.	M	
Energy consumption outside of the organization	302-2	Conserving the Planet/ Energy and Climate Change (pages 35–37)	As set out on pages 35–37 of the Report.	M	
Energy intensity	302-3	Conserving the Planet/ Energy and Climate Change (pages 35–37)	As set out on pages 35–37 of the Report.	M	
Reduction of energy consumption	302-4	Conserving the Planet/ Energy and Climate Change (pages 35–37)	As set out on pages 35–37 of the Report.	M	
GRI 305: Emissions 2016					
Direct (Scope 1) GHG emissions	305-1	Conserving the Planet/ Energy and Climate Change (pages 35–37)	As set out on pages 35–37 of the Report.	M/E	
Energy indirect (Scope 2) GHG emissions	305-2	Conserving the Planet/ Energy and Climate Change (pages 35–37)	As set out on pages 35–37 of the Report.	M/E	
Other indirect (Scope 3) GHG emissions	305-3	Conserving the Planet/ Energy and Climate Change (pages 35–37)	As set out on pages 35–37 of the Report.	M/E	Limited disclosure in 2017 (business flights only).
GHG emissions intensity	305-4	Conserving the Planet/ Energy and Climate Change (pages 35–37)	As set out on pages 35–37 of the Report.	M/E	
Local Community Engagement					
Grants, sponsorships and donations	CTEC KPI	Making a Socio-Economic Contribution (page 24)	Ad hoc/case study reporting in 2017.	M	Disaster relief donations for 2017 reported. Further, more detailed, disclosure planned for 2018. <i>Public target set.</i>
Animal Testing					
Number of animals used in testing, by category	CTEC KPI	Working Responsibly with Partners/Animal Testing (page 33)	All ConvaTec operations and businesses and the contractors which carry out the testing on our behalf.	M	

Material Issue/KPIs	GRI Reference (or ConvaTec KPI)	Location Reference	Boundary	Measured/Estimated	Comment
Environmental Issues in the Supply Chain					
New suppliers that were screened using environmental criteria	308-1	Working Responsibly with Partners/Upstream – Suppliers (pages 32–33)	Important for our commercial performance and reputation and potentially involving all our suppliers and their environmental impacts.	M	All new suppliers are required to sign our Code of Conduct. As our supplier assessment programme was launched during the year, we have not yet applied this to new suppliers. Going forward 'key' suppliers will be assessed.
Negative environmental impacts in the supply chain and actions taken	308-2	Working Responsibly with Partners/Upstream – Suppliers (pages 32–33)	Important for our commercial performance and reputation and potentially involving all our suppliers and their environmental impacts.	M	
Number of suppliers assessed and performance levels	CTEC KPI	Working Responsibly with Partners/Upstream – Suppliers (pages 32–33)	Important for our commercial performance and reputation and involving our suppliers and their employees. Covers all suppliers on a risk basis.	M	<i>Public target set.</i>
Supplier Diversity					
Proportion of spending on local suppliers	204-1	Making a Socio-economic Impact/Local Procurement (page 24)	Data captured in US only as part of required reporting practices.	M	
Water Management					
Water withdrawal by source	303-1	Conserving the planet/management of waste and water (page 38)	Data provided from all manufacturing facilities other than as indicated.	M/E	EuroTec manufacturing will provide waste and water data in 2018.
Water sources significantly affected by withdrawal of water	303-2	Conserving the planet/management of waste and water (page 38)	Data provided from all manufacturing facilities other than as indicated.	M/E	
Water recycled and reused	303-3	Conserving the planet/management of waste and water (page 38)	Data provided from all manufacturing facilities other than as indicated.	M/E	
	GRI 306: Effluents and waste 2016				
Water discharge by quality and destination	306-1	Conserving the planet/management of waste and water (page 38)	Data provided from all manufacturing facilities other than as indicated.	M/E	