

Environmental, Social and Governance Report

For 2020

2020 accomplishments and a look toward our future





Jeff Storey
President and CEO

A Message From Jeff Storey

In April 2021, more than a year after we first began to hear about COVID-19, we are still deeply involved in activities that protect the health and wellbeing of our people, our customers and our communities. Many of us are still working from our home offices or our dining room tables. Our Lumen team continues to focus on the familiar preventive measures that keep us safe, and we remain fully engaged in supporting the activities around the world to fight and beat the COVID-19 virus.

The purpose of Lumen is to further human progress through technology, and our purpose has never been more critical as we have seen the importance of technology in keeping family, loved ones, hospitals, schools and businesses connected throughout the pandemic. We moved quickly to protect the health and safety of our people by transitioning over 75 percent of our workforce to work-from-home while providing strong health and safety protocols to safeguard our front-line, essential workers who have been dedicated to keeping our customers connected. We have worked with our communities to offer our facilities as pop-up testing and vaccination sites. One of our proudest achievements was providing high-speed connectivity for the U.S. Navy ship Mercy as it docked in Los Angeles to care for COVID-19 patients.

We have seen that secure, far-reaching and capable platforms such as ours, together with the people who bring them to life, are essential to the security and prosperity of the customers we serve and the communities in which we live and work. As we look to the future, we are mindful that social responsibility and environmental stewardship are inherent in the Lumen purpose and everything we do.

Lumen is committed to creating lasting value for all our stakeholders; environmental sustainability and social responsibility are core to our business priorities. We have committed to achieving science-based Greenhouse gas (GHG) emissions reduction targets that help mitigate global climate change. We are focused on delivering innovative solutions based on the 4th Industrial Revolution technologies that further human progress. As a technology company, Lumen has a unique opportunity to strengthen the sustainability efforts of our enterprise customers in critical industries such as manufacturing, transport, energy and agriculture with the Lumen Platform for Amazing Things. We deliver our promise through the talent and integrity of our people, our commitment to be an outstanding employer, our respect for the environment and our ongoing involvement in our communities.

I am proud of the great work highlighted in this report committed to by Lumen and carried out by our people, who are such amazing corporate citizens. We are having an impact, and we will do much more.

Thank you for your interest in learning more about how Lumen supports environmental sustainability and social wellbeing and how we implement the governance necessary to ensure we hold ourselves to the highest standards of corporate ethics and responsibility.

Jeff Storey, President and CEO

April 19, 2021

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Our Purpose

Lumen's Sustainability Vision

Lumen's purpose to further human progress through technology is guided by our belief that humanity is at its best when technology advances the way we live and work. We believe realizing our purpose depends on regular, informed communications with our stakeholders, including shareholders, employees, customers, suppliers, lenders, partners and our global community. Understanding stakeholder goals and priorities allows us to make strategic decisions focused on investing in our employees, delivering value to our customers, working fairly with suppliers, supporting our communities and building long-term value for our shareholders.

Responsible corporate citizenship has long been a part of the way we do business, and our Lumen brand launch created the perfect platform for enhancing our sustainability program. This year's ESG report summarizes our ESG efforts during 2020 and provides an overview of our plans for 2021 and beyond for evolving an integrated, cohesive sustainability strategy and delivering long-term value for shareholders.

During 2020, we focused on our sustainability efforts by outlining a thoughtful and deliberate roadmap for a coordinated and results-driven program going forward. Among our goals for strengthening Lumen's sustainability strategy for 2021 are:

- **Evaluation** - engage a consultant to conduct a materiality assessment, including a survey across various stakeholders, focused on identifying and prioritizing Lumen's best sustainability opportunities
- **Integration** - raise internal stakeholder awareness and foster a more collaborative, cross-functional sustainability program informed by the materiality assessment
- **Communication** - increase the effectiveness of our sustainability communications plan by centralizing information important to internal and external stakeholders and providing consistent and current information

Importantly, we are aligned to create targets and measure improvements for our innovation, environmental, social and governance efforts that are informed by frameworks established by the Sustainability Accounting Standards Board (SASB) and the Task force on Climate Related Financial Disclosures (TCFD). We plan to use the data collected in our third-party materiality assessment to guide ESG program enhancements and prepare additional reporting responsive to these frameworks.

Assessing applicability and responsibly implementing reporting is an iterative process. We believe that aligning with these standards, in addition to other financial and voluntary reporting, provides stakeholders relevant and targeted context about Lumen's business strategy for a rapidly changing world and our role in the 4th Industrial Revolution (4IR).



**Third Party
Materiality
Assessment**
(to be completed
by 4Q21)

**Align Reporting
with SASB and
TCFD**

**Increase ESG
Communications
and Content**



Our Story and 2020 Highlights

We are an international facilities-based technology and communications company focused on providing our business and residential customers with a broad array of integrated services and solutions necessary to fully empower our customers in a rapidly evolving digital world, which is undergoing the “4th Industrial Revolution” or simply the “4IR”. We believe we are the world’s most interconnected network. Our platform empowers our customers to rapidly adjust their digital programs to meet immediate demands, create efficiencies, accelerate market access and reduce costs. This allows customers to rapidly evolve their information, communications and technology programs to address dynamic changes without distraction from their core competencies. By empowering our customers to rapidly acquire, analyze and act on data, we are furthering human progress through technology and enabling our customers to thrive in the 4IR.

We best serve our customers by valuing all of our stakeholders. Our Unifying Principles are the foundation on which we build that value. Each of our Unifying Principles contributes to collective, and individual, success - but in 2020 none has been as essential to each of us as persistence.

Unifying Principles



Fairness



**Honesty
and
Integrity**



**Commitment
to Excellence**



**Positive
Attitude**



Respect



Faith



Perseverance

This report is organized “using the five SASB dimensions: environment, human capital, social capital, business model and innovation and leadership and governance. It highlights our 2020 accomplishments and also shares information about our current efforts and our vision for our sustainable future. A summary of several key 2020 accomplishments are outlined in the chart below.

During 2020, the COVID-19 global pandemic significantly impacted how we live and work. Social injustices were, again, revealed - underscoring the need for social, racial and economic equality and inclusion. In the wake of each, we found optimism that each challenge created opportunity to be better. Inspired by this perseverance, as a global community we drove change.

In 2020, we embraced change by launching our new “Lumen” brand – and are realizing the strategic opportunity to more effectively communicate our sustainability strategy. In connection with our Lumen launch, and relying on our Unifying Principles, we are working to provide our stakeholders with greater transparency into our sustainability strategy, advance our existing ESG initiatives and set new goals for the future.

2020 Highlights



COVID-19 Response

- Lumen was prepared to respond to the challenges of the COVID-19 pandemic. As a result of our proactive risk management and business continuity planning, we were able to quickly implement policies and practices that protected the health and safety of our people, their loved ones and our customers.
- The capabilities of the Lumen Platform ensured our customers continued to achieve their business goals while they adopted new ways of working and serving their customers.
- We transitioned 75 percent of our global workforce to work-from-home with incredible speed and efficiency and accelerated the delivery of IT systems that leveraged our extensive network and kept our Lumen teams working and delivering for our customers.
- We implemented strict safety protocols for our front-line employees and provided protective equipment to safeguard them and the customers they serve.
- We supported our communities and suspended data limits for consumer and small business customers, provided networking and security to government agencies working to manage the pandemic, and offered our facilities for COVID-19 testing and vaccinations.



Diversity, Inclusion, and Belonging

- We named a new Chief Diversity & Inclusion Officer.
- Lumen celebrates and embraces the rich mix of cultures, viewpoints and backgrounds that make up our global workforce.
- Our efforts to create and maintain a diverse workforce are guided by a committee of senior leaders and executives who shape, drive and champion our overall diversity, inclusion and belonging strategy.
- Our leadership development programs provide potential leaders with resources to engage, influence, coach, drive change and increase growth. In 2020, we launched unconscious bias training for our global workforce to further support the development of leaders.
- Lumen's senior leaders hosted listening circles as a critical action in our commitment to an inclusive work environment and to fight racism, prejudice and bias.
- We celebrate our diversity by observing Black History Month, Women's History Month, PRIDE Month, Asian/Pacific Heritage Month, Veterans Day, Hispanic Heritage Month, National Disability Employment Awareness Month and Native American Heritage Month, among other observances.



Environment and Sustainability

- We achieved 44 percent of our science-based target (SBT) for Scope 1 and 2 greenhouse gas (GHG) emissions reduction and fully achieved our SBT for Scope 3 GHG emissions reduction compared to our 2018 baseline year.
- In early 2021, we announced our inaugural sustainability-linked notes aligned with our SBTs for GHG emissions reduction.
- We provide remote energy management through Lumen Smart Home, minimize carbon footprints through technologies such as VoIP that reduce the need for travel and reduce paper waste with online billing and autopay.
- The growing suite of Lumen Edge Computing services enables a range of solutions that our customers use to improve their sustainability. From fleet maintenance and the development of autonomous vehicles in the transport sector to reducing manufacturing waste and resource consumption in agriculture, Edge Computing allows customers to acquire, analyze and act on data at the location where it delivers the most value.



Governance and Responsibility

- Our ESG initiatives are an important part of Lumen's promise and part our operating strategies. Lumen's Nominating and Corporate Governance Committee oversees our ESG strategy and works with our management team to evaluate our ESG program.
- Lumen's Code of Conduct is the foundation of the compliance program and applies to all Lumen employees, officers and directors. Our expectations related to ethical business conduct and compliance with laws are communicated throughout the year via annual training and periodic messaging.
- Our ethics and compliance program is core to how we run our business at Lumen and is overseen by the Risk and Security Committee of our Board of Directors. Annual risk assessments allow the program to evolve continuously as our business and risk profiles change.
- Lumen's global Human Rights Policy demonstrates our firm commitment to the protection of human rights throughout the world. We require the same commitment from all third parties with whom we do business, as set forth in our Supplier Code of Conduct.
- Our 24/7 Integrity Line gives all employees multiple ways to report concerns in their chosen language and is supported by a firm no-retaliation policy.

Our People – Human Capital



Human Capital Vision

Lumen’s ability to fulfill our purpose is dependent on the quality and capabilities of our people. Lumen’s highly competitive business requires attracting, developing and retaining a motivated team that is inspired by leadership, engaged in meaningful work, driven by growth opportunities and thriving in a culture that embraces diversity, inclusion and belonging.

COVID-19 Response

The COVID-19 global pandemic created seismic shifts in our personal, professional and community lives. It also underscored for Lumen the value our employees contribute to our sustainability, our positive customer experience and our supportive corporate culture. Below is an overview of our initial and ongoing COVID-19 efforts.

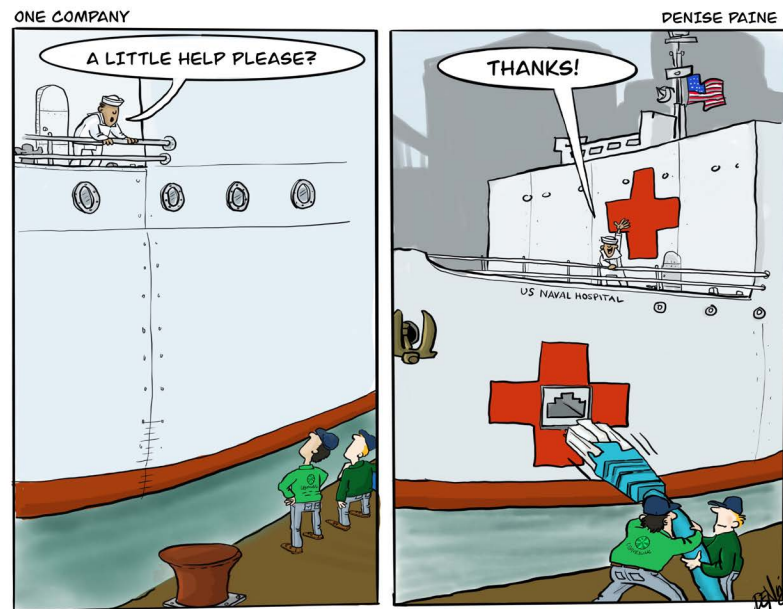
We were prepared to meet the challenge

When the COVID-19 pandemic hit, Lumen was ready. Because business continuity for ourselves and our customers is something that we are always planning and preparing for, our risk management team had robust planning in place for scenarios that would cause rapidly increased network demand, require a reliable supply chain and the ability to quickly reposition our workforce. Our business continuity management program (BCM) evaluates purpose and operations across our company, identifies potential threats to our operational sustainability, the related potential impacts to critical business priorities and develops effective strategies for mitigation, continuity and recovery.

- Prior to COVID-19, Lumen’s BCM identified the effects of a pandemic among possible operational sustainability risks which could require a rapid transition to remote working locations, including work-from-home scenarios.
- Effective business continuity planning, supported by our geographically dispersed network operations and infrastructure, met the rapidly evolving customer demands and challenges resulting from COVID-19 impacts.
- Our network operations centers constantly monitor, identify and isolate causes of potential network disruptions and coordinate resolution of system outages, at all times of the day or night, every day of the year.
- Efficient vendor and supply chain management enabled Lumen to access the volume of personal protective equipment (PPE) we needed to protect our employees in the field.
- Our BCM team continually assesses and evolves our plans. As COVID-19 and other continuity challenges evolve and arise within our sector, we are continually evaluating how we, or others, have reacted, resolved and learned from business-impacting events. These lessons help us effectively manage the reliability of our network, service to our customers and our Lumen brand reputation.

We were in it together from the start

Lumen moved quickly to support our customers’ transition and adaptability to the new way of living and working brought on by the pandemic. The efforts of our people and the power of the Lumen Platform helped smooth our transition to a “new normal” where technology played a larger role in how we live, learn and work. From the outset of the pandemic, Lumen was prepared for the challenge.



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We shared unique and new visuals and started new engagement channels. Denise Paine, Lumen employee, provided some needed support through her creative comics which were published internally and externally picked up by media.

COVID-19 Response



Employee Welfare

By the end of March 2020, transitioned 75% of our workforce to work-from-home, with 25% “work-from-work”

Implemented strict social distancing practices, health system screening, hand hygiene, decontamination and face-covering policies; substantially restricted non-essential business travel

Provided additional 80 hours of PTO for COVID-19 issues, extending as needed

Expanded U.S. employee short-term disability program; developed protections for non-U.S. employees

Developed safety protocols to protect customers and technicians; continued practice of minimum, if any, contact



Customer Connectivity

Provided robust network backbone for the transitions to work-from-home for our customers and employees

Minimized service disruptions through redundant communications capabilities that use diverse networks and routes

Supported rapid solutions for disruptive events with automated notifications

Delivered key sales and customer support resources



Engaged Leadership

Published regular company-wide communications from internal team leaders, management and executives, sharing information not only about the company’s COVID-19 efforts, including vaccine availability

Enabled rapid response as a result of BCM-anticipated pandemic risk

Continued commitment to BCM program by designing new scenarios and creating response plans to stay ahead of potential challenges, ensuring our platform continues to provide secure, reliable communications

Provided Board updates to shareholders during spring and fall shareholder engagement opportunities

Posted regular public statements and information to dedicated webpage



Community Care

As part of the FCC’s Keep Americans Connected Pledge, we suspended data usage limits for consumer and small business customers and provided relief from late fees and disconnection for those experiencing COVID-19 hardships

Actively engaged with state, local and national governments around the globe to ensure networking, connectivity and security capabilities needed to respond to the pandemic effectively

Established a global COVID-19 Relief Campaign focused on supporting frontline healthcare workers and first responders, providing basic necessities to vulnerable populations and supporting small businesses

Donated high-speed connectivity to emergency field hospitals across the U.S.

In 2020, made facilities available for testing and in 2021, made facilities available for vaccination sites (e.g. our facilities at Lumen Field in Seattle)



We keep going

Lumen continues to evolve our efforts and affirm our commitment to overcoming the pandemic by promoting employee safety, supporting our communities and innovating our services and solutions to further human progress through technology.

- We expanded our commitment to the FCC's Keep Americans Connected Pledge beyond the pledge period.
- We continue to implement programs and look for new opportunities to support employee resiliency, including providing accurate and transparent information, encouraging employee resource groups and spotlighting individual successes.
- We are focused on providing our sales and customer support organizations with the latest and most accurate resources to ensure we can provide reliable information to our customers.
- We are evolving our BCM program by designing new scenarios and creating response plans to stay ahead of challenges which may arise to ensure our platform continues to be trustworthy in times of uncertainty.

Our management team and Board of Directors are engaged in our COVID-19 support efforts. Our priority has been, and will continue to be, the health and safety of our employees, their loved ones, our customers and valued partners. Our COVID-19 response has been, and will continue to be, focused, effective and transparent.

Diversity, Inclusion and Belonging (DIB)

We prioritize developing and maintaining diversity among our colleagues and creating an environment in which we celebrate and embrace the rich mix of cultures, viewpoints and backgrounds that make up our global workforce. We gauge the progress and capabilities of our people by tracking and analyzing data from various sources, including annual talent reviews and hiring and promotion trends.

Diversity and Inclusion Steering Committee

Lumen's Diversity and Inclusion Steering Committee (DISC), is made up of senior leaders and executives, including Lumen's Chief Diversity and Inclusion Officer. Our DISC helps shape, drive and champion our overall diversity, inclusion and belonging strategy. Our DISC is guided by data that informs our diversity initiatives, which focus on training and education, hiring and retention, compensation, talent development, company culture, employee engagement and community impact.

Erin Parisi, manager, real estate facilities operations, explorer and highpointer, was recognized by Out Magazine in their 26th annual Out100, the largest annual portfolio recognizing members of the LGBTQ+ community for their groundbreaking, ripple-inducing, and culture-shifting impact around the world.

Employee impact

The confluence of global events during 2020, including the pandemic, amplification of social injustice issues and economic disruptions heightened our employees' desire to connect and make a difference within our global community.

As the company transitioned a large percentage of our workforce to remote work in response to COVID-19, Lumen's employee resource groups (ERGs) quickly launched virtual town halls for members, attended virtual recruiting events and supported Lumen's commitment to an inclusive work environment through participation in leader listening circles. Based in part on what we learned from the listening circles, Lumen now recognizes Martin Luther King, Jr. Day as a U.S. company holiday going forward for all non-union employees. This day off gives our employees time to remember and celebrate Dr. King's life or to participate in community impact activities of their choosing. Lumen has added Martin Luther King, Jr. Day as a holiday in numerous collective bargaining agreements covering union-represented employees and anticipates negotiations over adding the holiday to additional collective bargaining agreements as they come due. During Lumen's annual Diversity, Inclusion and Belonging week, employees all over the world joined together through a theme of "Curiosity. Connection. Community." to learn about different cultures, build deep connections and make a positive impact.



April Juarez, lead operations analyst, participated in a virtual volunteer event in which Lumen employees learned to cook a recipe, led by a refugee chef, as they shared their migration stories. "I signed up for several volunteer opportunities," she said. "I loved the Cuban cooking class. It was a lot of fun and they had a translator there. I have been learning Spanish on an app and was delighted to understand so much of what was said. It gave me inspiration."

Throughout the week, our employees participated in numerous virtual volunteer experiences to support nonprofits around the globe. The week's activities deepened the connection among our employees and our commitment to diversity, inclusion and belonging. As a result of the overwhelming positive feedback from our employees and the nonprofits supported by the virtual volunteering program, we are expanding the program in 2021 through a year-long virtual volunteer campaign that provides our employees sustained opportunities to make a positive impact. The virtual volunteer

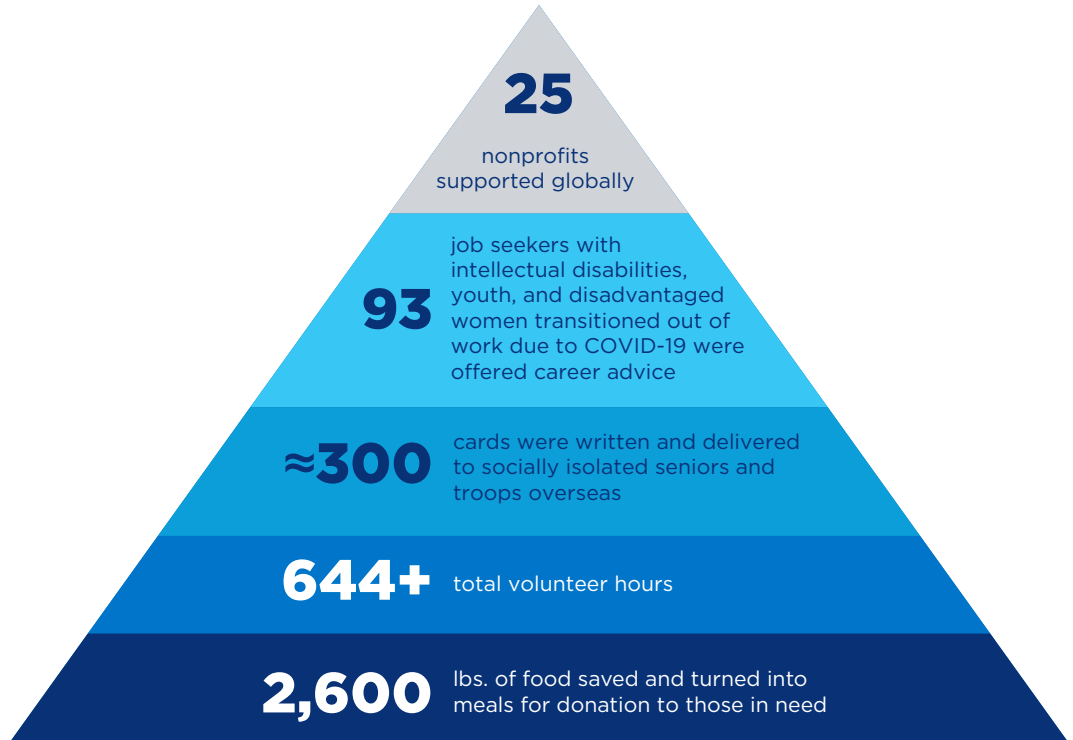
campaign will support a multitude of causes, including economic empowerment, education, human rights, civic engagement, black identity, LGBTQ+, health and wellness, seniors, women’s empowerment, disabilities, housing and homelessness, the environment, arts and culture, and children and families.

Ripple effect

Every year, more than 3.3 million seniors spend time in senior homes across the United States. It’s estimated that 60% of them will never receive visitors, and amid the COVID-19 outbreak, that number has reached nearly 100%. This event and mission was impactful not only for the seniors receiving the letters but for the Lumen employees as well.



During Diversity, Inclusion and Belonging Week, Lumen Humans celebrated as a remote workforce by making an amazing impact across the globe right from home!



“This was a beautiful and inspiring way to start a Monday off with this specific Volunteer program especially in these trying times seniors are extremely isolated in nursing facilities. What makes it worse is a lot of families can’t even visit loved ones with the pandemic. Personally it touched me as I’m dealing with a 90 yr. old parent with Alzheimer’s. I have my 1st letter written and ready to mail today. Let’s keep programs like this going! Great job Lumen!” - Kathy Vasallo, Project Coordinator II - IMS



In 2020, Lumen hosted a PRIDEful month in June to promote LGBTQ+ inclusiveness in our global workforce. Our PRIDE ERG hosted virtual PRIDE parades, and the company flew PRIDE flags at several of our facilities around the globe. We also launched a voluntary gender inclusive pronoun campaign supporting the inclusion of pronoun usage in employee signatures. Erin Parisi, Lumen’s manager, real estate facilities operations and the global membership lead for the PRIDE ERG, shared her story of coming into her own identity as a transgender woman. She promotes awareness and visibility for the trans community through her documentary “TranSending” which showcases her journey into self-discovery.



During the Uplift Women Artists of Color event, our employees supported In Full Color, a nonprofit that provides support and resources for people of color or marginalized genders. Summer Dawn Reyes, founder and director of In Full Color, commented, “our artists loved being able to share their work in an open, authentic space and to talk about their artistry as well as their queer experiences. Everyone felt so appreciated, loved and uplifted.”



In 2020, diversity, inclusion and belonging strategies in our Latin America region focused on increasing awareness on numerous topics and expanded employee membership in Lumen’s ERGs. During the diversity, inclusion and belonging disability webinar, Juan Daniel, IT operations technician at Lumen, shared his inspirational life story, which he also wrote about in his book *Una história de vida extraordinária* published in 2020. According to Daniel, “from the moment we overcome ourselves, something impossible happens. What makes a person have an extraordinary life? Money? Material goods? Intelligence? Skills? Talents? Success? I don’t have legs nor hands, but it never stopped me from realizing my dreams or feeling like someone in life.”



Our employees sent over 72,000 nonpartisan voter education texts during the 2020 U.S. election season. “Our most successful group to date,” commented Claire Chapman, volunteer activation, Open Progress.



Employee resource groups (ERGs)

Lumen offers our people a sense of belonging through our 10 global ERGs, communities of employees founded on different cultures and beliefs that provide an avenue for employees to contribute ideas and suggestions for enhancing Lumen’s inclusion efforts.



June 19 marks an important day in U.S. history, commemorating the end of slavery. Widely known as Juneteenth, beginning June 19, 1866, following the signing of the Emancipation Proclamation, the presidential executive order freeing all enslaved African Americans was adopted. Juneteenth is recognized and celebrated across the United States through parades, festivals, educational programming, and engagement in social improvement initiatives. Lumen expanded its recognition of Juneteenth in 2020, prioritizing individual learning and engagement in partnership with the Alliance of Black Technology Professionals (ABTP) ERG.



Our ERGs play an important role in maintaining a positive corporate culture, assisting with employee career development, increasing employee engagement and helping connect with our increasingly diverse customer base by:



- Offering employee development and training via professional and technical forums
- Creating opportunities for social and professional networking
- Promoting the Lumen brand and business
- Increasing sales through marketing efforts in targeted areas
- Participating in community outreach through social, cultural and educational events and sponsorships
- Celebrating Black History Month, Women’s History Month, PRIDE Month, Asian/Pacific Heritage Month, Veterans Day, Hispanic Heritage Month, National Disability Employment Awareness Month and Native American Heritage Month, among other observances
- Connecting members with opportunities to support 501(c)(3) organizations, which also increases Lumen’s visibility in the community





In 2020, Dawn Kolb, vice president of quality assurance and release management at Lumen, joined the PRIDE ERG as their global executive sponsor.

“At Lumen, we have many ERGs that are doing wonderful work,” she said. “I wanted to support the diversity efforts at Lumen as a leader and strategic partner. I didn’t truly feel like I was doing enough, so I asked to serve as an executive sponsor for the PRIDE ERG. I selected the PRIDE ERG as it is near and dear to my heart; my daughter is a member of the LGBTQ+ community. I am so proud of the woman she has become and wanted to support her and members of the LGBTQ+ community as an ally. Being an executive sponsor for the PRIDE ERG has allowed me to become more deeply involved both in and out of Lumen gaining understanding and supporting the LGBTQ+ community, while also helping Lumen’s efforts to foster an inclusive environment.”



Connecting Technology to Employee Success

Eric Blumenfeld, service assurance technician at Lumen, was born deaf. Early in his career, he worked for an employer that, following a change in management, declined to hire interpreters for him to be successful in his role. This led him to look for a new opportunity. In reflecting on his experience joining Lumen more than 30 years ago, Eric shared:

“From day one, my management team and I worked together to develop the best solution for communicating with my co-workers and customers. Lumen provided me with the tools needed to break down the communication barrier, from a TTY and access to the relay service initially, to now, a video phone with a live ASL interpreter. Lumen provides ASL interpreters for training sessions to ensure I get the full benefit of the training. Lumen realizes that a diverse workforce is important and provides resources to ensure diversity, inclusion and belonging through employee resource groups, such as Friends who Respect and Inspire Everyone Needing Disability Support (FRIENDS). I am proud to work for a company that strives to remove barriers in order to ensure employee success.”

Recruiting, Developing and Retaining a Skilled, Diverse Workforce

At Lumen, a person’s career aspirations are our inspirations. Our inclusive talent practices bring together the best mix of talent for the brightest ideas, the greatest achievements, and the shared passion to transform industries across the globe. Lumen was born to help other companies thrive in delivering the amazing experiences promised in the 4th Industrial Revolution. The continuous integration of the unique qualities of each employee with different perspectives of newly hired talent accelerate Lumen’s revolutionary discoveries and cutting-edge technologies – all with the shared purpose and passion for furthering human progress through technology.

We are creating our future with each candidate touchpoint through advanced recruitment technologies and expert sourcing and recruiting strategies to connect talent from all walks of life to one another and to our purpose through amazing career

opportunities at Lumen. We also have an extraordinary vision for our forthcoming internal talent marketplace and we leverage:

- Next-gen candidate assessment technologies to reduce the impact of bias on talent selection
- Advanced technology for candidate lead generation and superior candidate experiences
- External diversity talent sourcing strategies and toolkits
- A spirit of transparency and inclusion throughout our recruitment processes
- Emerging partners and technologies in the University Relations space to maximize our reach across hundreds of colleges and universities, including many diverse institutions across all diversity recruitment focus areas
- Sponsorships and other opportunities for diversity recruitment events, forums, and trainings
- Data-driven approaches to decision-making and prioritization
- We work hard every day to bring more diverse talent to Lumen and to provide outstanding opportunities for advancement to all employees – starting with a fair and level playing field



Kandice Guice, procurement and supplier diversity manager and member of Alliance of Black Technology Professionals and Women Empowered ERGs

“Lumen prioritizes working with small and minority-owned businesses because we value the contribution of these businesses in the communities we serve.”

Developing strong leaders who can take our company forward is a priority for Lumen, so as we look to the future, we continue to build opportunities to enable and build our diverse talent pipeline. Through the launch of Mentoring Circles across Lumen, we have implemented a collection of mentoring relationships for recurring connections that advance development goals and build the competencies of our future leaders. Our leadership development programs are also designed to provide our people with tools, training and resources to engage, influence, coach, drive change and increase a growth mindset across our employee base.

Additionally, we implemented “unconscious bias” training for our global workforce and maintain a dedicated channel on our learning platform that offers relevant videos, books, and courses. These resources address a wide range of topics, from emotional and mental health, to multicultural lessons in leadership, to today’s racial landscape. These resources help ensure we are not only supporting our leaders and employees in building an inclusive culture, but also helping them address their own personal wellbeing.

Commitment to pay equity

In 2020, we conducted a pay equity review of our U.S., non-union employees to determine whether employees of color who perform similar work at the same level are receiving “equal pay for equal work.” In 2019, we conducted a similar review for gender pay equity. In assessing pay equity, these reviews considered factors such as employees’ role, tenure, experience and performance. Following these reviews, we adjusted employees’ pay where needed. As part of our commitment to fair and equitable

compensation, we will continue regular gender and race/ethnicity pay equity studies of our U.S., non-represented employees and make pay adjustments where warranted. We also have implemented tools and processes to review compensation decisions, as they are made, for pay equity.

Benefits enhancements

Lumen offers progressive employee benefits and enhancements that recognize the diverse needs of our employees and their families. These include a comprehensive wellness program, flexible time off, extended maternity/parental leave, the Milk Stork program for nursing mothers, fertility benefits, gender-affirming and same sex/domestic partner healthcare benefits, adoption benefits, survivor benefits, financial wellness, mental health benefits and disability accommodations.



Lumen’s employee wellness programs are comprehensive and focused on offering incentives to those who wish to begin and/or maintain a healthy, active lifestyle. From losing weight, eating healthier, dealing with stress or simply becoming more active, there is something for everyone no matter what your current health status or the goals you want to achieve. You have access to health professionals and coaches who will help get you started and keep you motivated.”

— Lumen network technician

Occupational Health and Safety (OHS)

The health and safety of our employees and business partners is a top priority for Lumen. We are committed to providing a workplace free of recognized hazards. Our environment, health and safety (EHS) team oversees our OHS program, focusing on continuous improvement by incorporating “risk-based thinking” into our organizational safety goals, prioritization of health and safety objectives, and safety management systems.

OHS management systems

We have implemented occupational health and safety management systems for employees in our North America; Europe, Middle East and Africa (EMEA); and Latin America (LatAm) regions. Our environment, health and safety team and relevant business units implement these systems and perform periodic reviews to identify and achieve improvements in overall safety performance.

In 2020, Lumen added operations and facilities in Brazil to those in Argentina, Chile, Colombia, Ecuador, Peru and the United Kingdom that are certified in accordance with OHSAS 18001 (Argentina, Chile, Colombia, Ecuador and Peru) or ISO 45001 (Brazil and the United Kingdom). Lumen’s decision to seek third-party safety management system certification is based on a variety of factors, including the scope and nature of the operation, legal requirements and customer expectations. Work operations in areas not referenced



above are not currently subject to a third-party certified safety management system. We will continue to explore and evaluate opportunities to certify additional operations.

OHS practices

The Lumen EHS team conducts risk assessments and monitors health and safety legislation to develop policies and procedures that eliminate or control safety hazards and support compliance with applicable laws and regulations. We identify work-related hazards that pose a risk of high-consequence injuries through risk assessments, incident investigations and employee feedback, and by periodically reviewing injury claims data, including lost time injuries and claims expenses.

For example, in the telecommunications industry, working at heights is a hazard with the potential for a high-consequence injury. Lumen has taken several steps to eliminate or reduce the risks posed by this hazard including:

- Eliminating the hazard by lowering certain outside plant equipment to ground level
- Substituting aerial lifts for climbing where feasible and applying engineering controls such as deploying lighter-weight extension ladders with enhanced stability features and pole-mounted ladder brackets that allow decommissioning of elevated work platforms used to access pole-mounted equipment
- Improving administrative controls by reviewing, revising and updating safety training content and delivery

The Lumen EHS, risk management and operations teams continuously monitor safety performance to evaluate opportunities to eliminate or reduce the risks of workplace hazards.



Incident reporting and investigations

Our employees are responsible for reporting work-related incidents immediately to their manager and to the company's 24/7 reporting system. Work-related incidents include on-the-job injuries and illnesses, motor vehicle collisions and property/equipment damage. We investigate reported safety incidents to identify ways to prevent them in the future. Lumen also reports safety incidents to the appropriate government agencies when required by applicable regulations.

Unsafe conditions and anti-retaliation measures

Our people know to promptly report unsafe or hazardous conditions or suspected violations of the law to management. If an unsafe or hazardous condition is reported, managers provide necessary notices, warnings or controls to prevent exposure to the hazardous condition and report the condition to the company's EHS team and/or our 24/7 incident reporting system. Suspected violations of the company's Code of Conduct or legal obligations are reported to the Integrity Line, the company's compliance hotline. Lumen does not tolerate retaliation against anyone who in good faith reports known or suspected violations of our Code of Conduct, which includes our safety and health practices (e.g., reporting unsafe conditions and safety incidents). Retaliatory acts may lead to disciplinary action against the person responsible for the retaliation, up to and including termination. Employees who believe they have experienced retaliation are encouraged to contact our Integrity Line.

Occupational health services

To help ensure that our people enjoy a positive workplace experience, Lumen contracts with a variety of occupational health services providers. In North America, one of our providers supports our “Workplace Possibilities” program which helps identify employees who are experiencing occupational health (e.g., ergonomic), medical or mental health challenges that may be impacting job performance. The objectives of this program are to:

- Help remove barriers to allow employees to remain on the job safely and productively or to return to work after a disability as soon as medically capable
- Ensure employees feel valued, maintain positive connections with the workplace and avoid the “disability mentality”
- Reduce turnover and lower the impact and cost of disability

To accomplish these objectives, Workplace Possibilities collaborates with employees and managers to explore modified or alternate work tasks or hours and/or adaptive equipment to improve employee engagement and workplace experience. This service is available to all U.S. employees and is advertised on our company intranet. Additionally, manager training is available to ensure that they are familiar with program elements, can identify employees who may benefit from the program and support their team members to either stay or return to work. Lumen’s benefits team meets with Workplace Possibilities on a quarterly basis each year and for an annual stewardship meeting to analyze the program outcomes of successful stay at work, return to work, claim duration and cost savings.

In our EMEA and LatAm regions, occupational health service providers are retained where required by law. These providers perform as-needed consultation and may perform workplace safety audits to identify OHS hazards. The provider then partners with company stakeholders to develop corrective action plans, including, in some instances, training programs to address any deficiencies. In all instances, employees who participate in occupational health services are protected from adverse employment actions, and personal health-related information security is maintained in accordance with relevant data privacy and employment laws and company policies.

Mutual Occupational Safety and Health committees

Lumen’s Mutual Occupational Safety and Health (MOSH) committees in the United States provide an opportunity for represented employees to participate and consult in the implementation and as-needed modification of our safety management system. MOSH committee members identify, evaluate and help to implement practical and sustainable solutions to workplace health and safety issues. Lumen maintains state MOSH committees for Arizona, Colorado, Idaho, Iowa, Minnesota, Montana, Nebraska, New Mexico, North Dakota, South Dakota, Oregon, Utah, Washington and Wyoming. These committees are codified in Lumen’s collective bargaining agreements with Communication Workers of America, District 7, and International Brotherhood of Electrical Workers, Local 206. Non-represented employees in these states and employees in other states are not currently included in management/labor safety committees.

OHS training

Lumen maintains a better-than-industry-average safety performance and our investment in health and safety training is a big reason why. The Lumen EHS team conducts training needs assessments and collaborates with supervisors and managers using our EHS training plan tool to identify task-specific training requirements and targeted safety training content relevant to those tasks. Internal and external resources deliver the



training to achieve and maintain compliance with federal, state and local regulations, comply with our safety management systems where applicable and target high-frequency and high-severity safety hazards. We use a combination of instructor-led and web-based training, awareness campaigns and facilitated safety meetings to help accomplish our health and safety goals.

Promotion of workers' health

Lumen invests in the physical, mental and emotional wellbeing of our people through a broad range of health, life and voluntary lifestyle benefits. In the United States, Lumen offers consumer-driven health insurance plans as well as dental and vision plans, health savings and flexible spending accounts. We provide onsite medical clinics at three of our major locations. U.S. employees and their covered spouses are encouraged to participate in our Rally Rewards program, which enables employees to earn monetary awards for completing a wide variety of health actions, including preventive care, weight/condition management, mental wellness and healthy behaviors. Health promotion benefits outside the United States vary by country and include access to our employee assistance program which provides information and support to help improve employees' wellness and wellbeing. Other worker health promotion programs include private medical and/or disability and/or travel accident insurance, dental, vision, CycleScheme (to encourage cycling to and from work) and nutritional support programs. Not every benefit is available in every country or location.

Safety performance

In 2020, Lumen's Occupational Safety and Health Administration (OSHA) recordable occupational injury and illness rate in the United States was 1.9 per 100 employees, well below the industry average of 2.8 per 100 employees for wired telecommunications companies (as of year-end 2019, the most recent available data as reported by the

When "Less is Better" - Lumen's robust safety management system helped our U.S. employees achieve a 2020 OSHA recordable injury rate that was 30% less than our industry peers.

Bureau of Labor Statistics (BLS)). Recordable occupational injury and illness rates in our EMEA and LatAm regions were 0.32 and 0.09 per 100 employees respectively. Safety performance data are presented in the "Our Statistics And Accomplishments" section.

Non-compliance with health and safety laws and regulations

In 2020, Lumen had two instances of non-compliance with health and safety laws and regulations that resulted in fines totaling \$22,500.

Our Impact - Environment



Environmental stewardship is inherent in our Lumen purpose. We actively review the impact of our operations and make choices to reduce our environmental footprint. We believe our commitment to environmental sustainability promotes the financial health of our business, the quality of service we provide and value creation for our employees, communities, customers and investors. Our EHS team oversees and executes the company's EHS and environmental sustainability visions, which are available to all employees on the Lumen intranet.

Environment, Health and Safety (EHS) Vision

Lumen is committed to achieving excellence in its protection of health, safety and the environment for our people, business partners and global communities by:

- Evaluating risks to the company and developing and implementing effective strategies for mitigating identified risks
- Complying with applicable regulations and company requirements
- Allocating appropriate resources to facilitate implementation of the EHS function
- Communicating responsibilities and other requirements using effective training and awareness programs
- Encouraging employee participation in developing and executing EHS initiatives
- Developing innovative and flexible solutions that drive improved EHS performance and contribute to achieving company objectives



Environmental Sustainability Vision

Lumen is committed to incorporating appropriate environmental sustainability principles and practices throughout our operations as we work to serve our customers and our communities. The company informs and drives our sustainability efforts by:

- Identifying and implementing sustainability initiatives aligned with our overall business objectives
- Building and operating an energy-efficient global communications network, thereby reducing carbon emissions
- Reducing waste and energy/water consumption
- Engaging employees and suppliers in our sustainability efforts
- Meeting applicable sustainability legal requirements
- Establishing sustainability metrics to measure the results of our efforts

EHS Framework

The EHS program framework focuses on seven key areas:

- Environmental compliance and management
- Energy and emissions
- Water
- Waste
- Supplier environmental assessment
- Climate preparedness
- Occupational health and safety (described under “Our People – Human Capital”)

Environmental compliance and management

Our environmental management systems (EMS) help us identify and reduce the environmental impacts of our operations, drive continuous improvement in our results and facilitate regulatory compliance. We consider both internal and external issues, including authority and the ability to control and influence, organizational units, physical boundaries, legal requirements and contractual obligations as we determine the scope of our EMS work. Lumen is committed to complying with applicable environmental regulations.

Environmental management practices and procedures

To ensure we meet the goals set out in our vision statements, the Lumen EHS team assesses and reviews our company programs, operational facilities and waste management vendors. We monitor environmental legislative activity and collaborate with other internal groups to develop documented practices and procedures that support compliance with applicable laws and regulations to drive improved performance. These practices and procedures are available to employees on the company intranet.

We broaden our impact on environmental sustainability by participating in the Environmental Health & Safety Communications Panel (EHSCP), where EHS professionals across the industry share best practices, monitor emerging issues and engage with policy makers directly by commenting on and providing recommendations related to various proposed regulations.



Environmental management training

Our people are central to the success of our EHS efforts, and our EHS team conducts training programs to ensure our teams know how their work activities affect the environment. The EHS team collaborates with supervisors and managers to identify task-specific training requirements and develop relevant content. Training is delivered by internal and external resources to achieve and maintain compliance with federal, state and local regulations, and to comply with environment management system standards. Training is delivered through a combination of instructor-led or web-based training, awareness campaigns and facilitated meetings.

ISO 14001-certified facilities

In 2020, Lumen added operations and facilities in Brazil to those in Argentina, Colombia, Peru, Ecuador, Chile and the United Kingdom that are certified in accordance with the ISO 14001 environmental management system standard. We will continue to evaluate opportunities to certify additional facilities in the future.

Non-compliance with environmental laws and regulations

Lumen has over 29,000 global facilities that are subject to federal, state and/or local environmental laws and regulations. In 2020, Lumen had only three instances of non-compliance that resulted in fines totaling \$56,350.

Significant chemical spills

In 2020, Lumen had one reportable diesel fuel spill at a facility in Alabama. The incident was reported to and closed with the state.

Energy and emissions

To reduce our carbon footprint, we are identifying and implementing energy efficiency and greenhouse gas (GHG) emissions reduction initiatives.

Science-based targets

We have established two science-based targets (SBTs) to reduce the company's greenhouse gas (GHG) emissions.

SBT-1 is to reduce annualized absolute market-based Scope 1 and Scope 2 GHG emissions by 18 percent. **SBT-2** is to reduce annualized absolute upstream Scope 3 GHG emissions by 10 percent. Both SBTs have a target year of 2025 compared to our 2018 baseline year.

We have met 44 percent of SBT-1 and achieved SBT-2 as of year-end 2019. Please note, the information Lumen submits to the CDP is typically completed in July and is based on the previous year's data. Therefore, the data for GHG emissions (Scope 1, 2 and 3) for 2020 are still to be determined.

We announced our inaugural offering of sustainability-linked notes in early January 2021. The offering of the sustainability-linked notes is aligned with our SBTs and our broader commitment to ESG initiatives.

CDP participation

Lumen details our progress in reducing our carbon footprint in an annual climate change report we submit to the CDP (formerly the Carbon Disclosure Project). The CDP is an independent, nonprofit organization that aims to create an ongoing relationship and meaningful dialogue among shareholders, investors and corporations about the implications of climate change.

Lumen's CDP report includes comprehensive data and metrics related to our GHG emissions and emissions reduction initiatives, energy consumption, renewable energy purchasing, and climate-related risks and opportunities. The information Lumen submits to the CDP is typically completed in July and is based on the previous year's data. Therefore, the data for GHG emissions (Scope 1, 2 and 3) for 2020 are still to be determined. **For more information regarding CDP and/or to view Lumen's full disclosure, register with CDP at: [CDP.net](https://www.cdp.net).** Emissions data is presented in the "Our Statistics And Accomplishments" section.

CDP awarded Lumen an "A-" score in December 2020 for our 2019 efforts, placing us at the "leadership level" and among the top 8% of responding companies.

ISO 50001-certified facilities

Lumen facilities in Italy, Belgium, Germany, France, the Netherlands and the United Kingdom are certified in accordance with ISO 50001. We plan to continue to maintain these certifications and evaluate opportunities to expand them to other facilities.

Energy efficiency and reduction initiatives

Lumen's energy management teams lead an active program to improve efficiency and minimize GHG emissions in our facilities around the world. The following initiatives helped Lumen avoid 73,109 metric tons of GHG emissions in 2019:

- Deploying and enhancing building energy management and control systems
- Developing an energy network operations center (ENOC) to centrally monitor, manage and reduce facility energy use via energy management and control systems and advanced data analytics
- Turning down underutilized critical infrastructure equipment, including excess rectifiers and power plants
- Grooming, consolidating, and/or updating network switch equipment
- Installing and/or upgrading mechanical systems to improve efficiency, including the installation of variable frequency drives and variable speed electronically commutated fans
- Installing LED lighting retrofits and controls
- Improving facility airflow management, including deployment of hot aisle/cold aisle containment
- Increasing power usage effectiveness monitoring and reporting
- Upgrading facility mechanical system chilled water systems
- Upgrading, replacing and decommissioning UPS batteries

Transportation initiatives

As our field technicians respond to customers throughout our communities, we are aware of our responsibility to minimize the impact of our fleet on the environment. The Environmental Protection Agency has estimated that GHG emissions from transportation represent about a quarter of total domestic emissions. We work to reduce transportation emissions by:



Fleet

- Dispatching and operating our fleet more efficiently through the installation of GPS on 9,670 Lumen vehicles. These efficiencies are resulting in fuel expense savings as well as reduced GHG emissions
- Using flex-fuel vehicles, which produce significantly less GHG emissions than traditional vehicles
- Reviewing the impact of using mass-produced hybrid and electric vehicles from major manufacturers

Renewable energy initiatives

In 2019, Lumen purchased 280,189 megawatt hours of renewably sourced zero-carbon electricity. Renewable energy data is presented in the “Our Statistics And Accomplishments” section.

Customer initiatives

Lumen’s Platform for Amazing Things helps customers reduce their energy consumption by enabling smart technologies, dematerialization and virtualization. We align our Lumen Platform with our customers’ goals to reduce the effects of climate change with the goal of attracting more customers by communicating our success in supporting these energy consumption reduction technologies.

In the process of making amazing things possible, the Lumen Platform is helping our customers reduce their environmental impact:

- We work closely with our customers to enable IT architectures that reduce both costs and carbon footprint. As we help our customers digitally transform their businesses and move applications to the cloud, we believe our solutions reduce energy consumption and optimize resource utilization for their IT environments.
- The growing suite of Lumen Edge Computing services enables a range of solutions that our customers can use to improve their sustainability. From fleet maintenance and the development of autonomous vehicles in the transport sector, to reducing manufacturing waste and resource consumption in the agriculture sector, Edge Computing allows customers to acquire, analyze and act on data at the location where it delivers the most value.
- As a connector of IoT (Internet of Things) solutions, Lumen not only connects devices and sensors to the internet, but we also can connect business objectives with data-driven solutions that have the potential to drive deeper analytical insights and real business value. Based on the data we acquire, we believe our customers are better positioned to make real-time decisions that have the potential to improve their operational efficiency and reduce environmental impact.
- Remote energy management through Lumen Smart Home allows customers “anywhere management” of thermostat settings and the ability to preprogram efficient energy practices such as turning lights on or off at specific times.

- Minimization of carbon footprints through Lumen's solutions, such as VoIP, that reduce the need for business travel have also enabled businesses to improve resiliency during the COVID-19 pandemic and improved the safety of business operations across a broad range of industries.
- In 2020, Lumen joined providers of residential broadband internet service and manufacturers of small network equipment in continuing our work to improve the efficiency of our networks. This equipment includes items such as modems and routers used by consumers to access services. The primary objective of the agreement is to increase the energy efficiency of small network equipment while promoting rapid innovation and timely introduction of new features. At least 90 percent of small network equipment procured must meet the energy efficiency standards established by the agreement. The 2020 report issued by independent auditor D+R International showed that nearly 100 percent of new modems, routers and other internet equipment purchased and sold in 2020 for U.S. consumer broadband use met the energy efficiency standards. Additionally, Lumen customers can access energy efficiency/usage details for their modems here: [Lumen Modem Energy Efficiency](#).

Employee initiatives

Our people are pitching in to support our sustainability efforts.



- **Employee Resource Groups (ERGs)**
 - Our employees are engaging in a variety of environmental initiatives through opportunities offered by the Lumen ERGs. Read more about Lumen ERGs in this report under our “Diversity, Inclusion And Belonging (DIB)” section.
- **“Going Green”**
 - Our employees are submitting suggestions for environmentally sustainable practices through our “Going Green” mailbox. Suggestions are evaluated to determine feasible ways to implement them.
 - Our employees are learning about sustainability tips and ideas through the Green Tip Board, an internal forum that showcases both individual and organizational practices that can help make a positive impact.

- **Electric vehicle (EV) charging stations**
 - Our employees can drive their electric cars to work at our Broomfield, Colorado office because we have access to four (Level 2-ChargePoint) dual-port charging stations that accommodate up to eight EVs at once. Through year-end 2020, the Broomfield stations have delivered a combined (lifetime) total of 13,547 charging sessions, avoiding over 58 metric tons of GHG emissions.

Collaborative initiatives

Lumen’s sustainability initiatives are strengthened by our partnerships with other organizations that share our commitments.

- **Global Enabling Sustainability Initiative (GeSI)** – GeSI is a leading source of impartial information, resources and best practices for achieving integrated social and environmental sustainability through digital technologies. Lumen joined GeSI in 2020 and began using their resources and best practices to further our sustainability program.

We participate in GeSI, a collaboration among members from major information and communication technology (ICT) companies and organizations around the world.

- **Telecommunications Industry Association (TIA) - Corporate Sustainability Working Group (CSWG)** – As an active member and contributor to the TIA CSWG, Lumen works alongside other industry leaders to support the TIA CSWG’s goals and objectives. The group focuses on engaging best practices in benchmarking company and supply chain performance such as establishing science-based targets, recycling opportunities, and discussing the future of the circular economy.

Water

Climate change can impact the availability of water supply, especially in areas that are currently drought-stricken or have the potential to be so in the future. Using the World Resource Institute’s water quality index, Lumen assesses our operations in these areas and has determined that portions of Chile, Mexico, Belgium, Spain, Italy, India, and the United States, all countries where we operate, could face a high risk of water stress in the future. We are working to reduce our consumption of water overall and especially in these high-risk countries.

Consumption and discharge sources

Drinking water, irrigation and sewage are Lumen’s primary water consumption and discharge impacts. We also use water in cooling systems at some North American facilities. We track water consumption and closely monitor water usage abnormalities to improve water consumption efficiency and reduce excess discharge at our sites. Water consumption data is presented in the “Our Statistics And Accomplishments” section.

Waste

We are reducing waste through minimization, re-use and recycling. Our internal waste management programs and initiatives also focus on the appropriate disposition of hazardous wastes. Our EHS team implements waste management methods, submits annual reports to regulatory agencies regarding disposal and audits disposal facilities for environmental compliance. Lumen does not manufacture the products we use, but we

partner with suppliers that follow applicable environmental standards. See the “Supplier environmental assessment” section for additional information.



Recycling and product end-of-life management

We divert millions of pounds of electronic and communications equipment from landfills each year. We recycle telecommunications equipment and many other items such as batteries, wood poles, electronics, copper wire, fluorescent lamps, fleet oil and solvents. Lumen recycled more than 3,509 metric tons of these materials in 2020.

Our modem/router takeback program allows customers to return their modems/routers, which are then either reused or sent to an R2-certified recycler for disposal.

Paper recycling

We encourage our people to use double-sided printing, and enhanced electronic work program capabilities have reduced the need for paper. Because we are using less paper as we conduct business, we expect to see our paper recycling numbers decrease over time. To ensure the security of paperwork that requires disposal, whether customer, company or employee-related, our secure shred program allows employees to dispose of company documents and media through responsible recycling practices. In 2020, Lumen sites collected, securely shredded and recycled approximately 690 metric tons of paper.

Supplier environmental assessment

Lumen’s environmental compliance and sustainability efforts do not stop at our doors. We expect our suppliers to demonstrate the same commitment by complying with environmental laws and requirements including those related to:

- Management and disposal of hazardous materials
- Contaminants in air, soil or water
- Protections of natural resources, wildlife and wetlands
- Recycling

Although our suppliers are independent entities, their business practices may impact or reflect upon our company. Therefore, we require our suppliers to review and comply with our Supplier Code of Conduct, in addition to their own comparable standards of ethical business conduct, while conducting business with, or on behalf of, Lumen.

Our suppliers must use reasonable efforts to employ environmentally preferable and energy-efficient services and must work with their own suppliers to assess and address environmental and sustainability issues within their supply chains. Suppliers are encouraged to implement environmental management systems and focus on continuously monitoring and improving their performance. Through contracts, Lumen also requires its suppliers to provide commercially available services that:

- Reduce or eliminate hazardous waste/materials
- Limit special material processing
- Use services and products that promote the use of non-hazardous, recovered recycled materials

Supplier environmental reviews

Lumen conducts environmental reviews of its suppliers who pose the most potential risk to the company. These reviews are done by both on-site visits and by records review and corrective actions are taken as needed.

Procurement

Our efforts to reduce our environmental impact extend to our procurement processes.

- **EPA SmartWay** – Our membership in the EPA's voluntary SmartWay transport shippers program allows us to recognize partners that set and achieve goals to reduce GHG emissions in their freight transport operations. The program encourages the use of SmartWay partner freight carriers that are improving their own fuel efficiency, which helps reduce potential environmental impacts from freight shipping activities.
- **Telecommunications Energy Efficiency Ratio (TEER)** – The TEER measures and uniformly quantifies energy consumption for network components. Lumen helps ensure that new network equipment is energy efficient by requiring our suppliers to apply the TEER metric to appropriate proposal submissions.

Climate preparedness

When climate change-related events such as severe flooding, windstorms, hurricanes and wildfires impact our ability to deliver services, our corporate business continuity management (BCM) team is ready to act.

Our comprehensive business continuity program focuses on prevention, collaboration, communication, response and recovery to ensure we can quickly resolve disruptive events. We prepare for potential impacts by evaluating various climate change risks to our ongoing operations when we consider opening new facilities and/or expanding our network.

Each year, our business continuity team requires our business unit teams to evaluate the criticality of their business processes at the location or network level. Critical processes undergo a business impact analysis which includes criteria for materiality and priorities. The team identifies maximum allowable downtimes, which drive the recovery time objectives for critical processes and systems. The climate change-related hazards and threats considered in this process include flooding, disruption to our supply chain, loss of people or facilities due to disruptive natural phenomena, the impact to populations due to pandemic, and civil unrest. Our overall business continuity strategy, processes and results are communicated to the executive leadership team and made available to all employees.



Our Commitment – Governance And Social Capital

Governance Sustainability Vision

Lumen’s Platform for Amazing Things and the opportunities presented by the 4IR have created a strategic opportunity for evaluating and evolving our sustainability program and developing additional reporting responsive to various frameworks, including SASB standards and TCFD recommendations. To achieve our ESG program goals, our 2021 plans include engagement with stakeholders about their perspectives on sustainability generally and how we are evolving our program and new communication plans.

Board Governance and Leadership

Responsible corporate citizenship is a key priority for our Board and management team. Lumen’s Nominating and Corporate Governance Committee oversees our ESG strategy and works with our management team to evaluate our ESG program and identify meaningful environmental, social, governance and financial factors, and disclosure and communication plans.

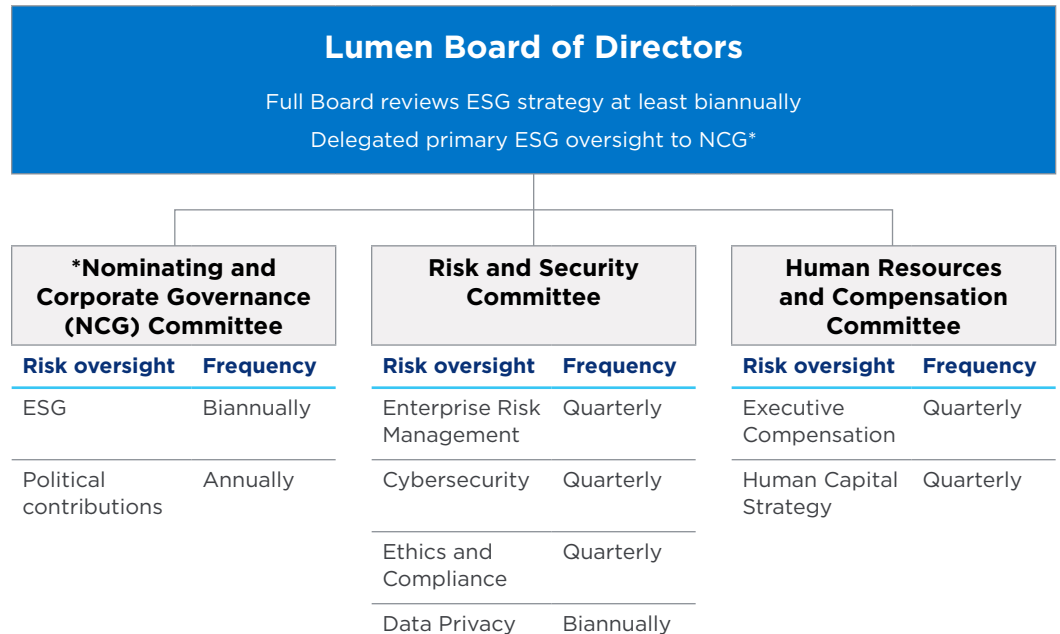
Governance Highlights

Board Governance Refreshment

- “Rooney Rule” for open Board seats
- Annual Director elections
- Independent committee chairs
- Independent chair - separation of chair and CEO
- Annual Board and committee evaluations
- Director change in circumstance resignation policy

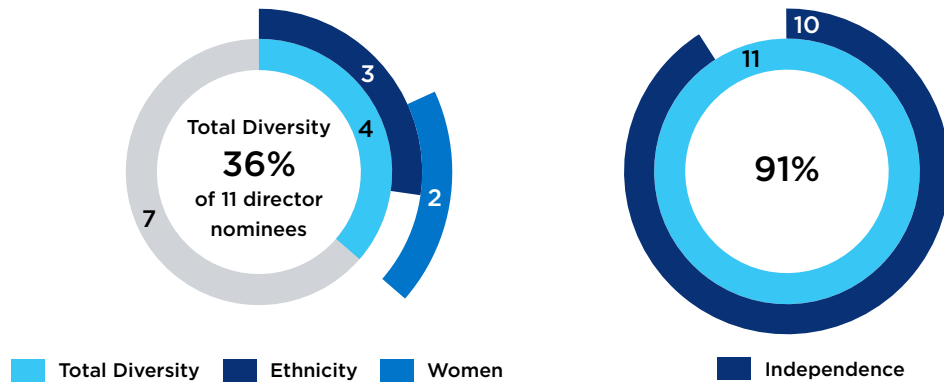
Shareholder Rights

- Year-round shareholder engagement
- Shareholder nominee process
- Shareholder proxy access
- Majority voting for director meetings
- Shareholder right to call special elections
- Annual say-on-pay vote



The Board, along with its committees, reviews and oversees Lumen’s risk management processes in many ways, including receiving regular reports about our enterprise risk management (ERM) program, which is designed to comprehensively identify our most significant risks. Under the ERM program, management develops a response plan for prioritized risks as well as monitoring and mitigation plans for other identified risk focus areas. Management provides regular reports on the risk portfolio and response efforts to the Risk and Security Committee. The Board also works with management to assess our key short and long-term risks and mitigation efforts relating to financial reporting, strategic plans, operations, capital budgets, corporate functions, business units, and other operational factors.

Board statistics



Digital Safety

Cybersecurity

As a technology and communications company that enables global transmission of large amounts of information over the networks we lease or own, maintaining the security and integrity of information and systems under our control is a priority among our operational risk management efforts. We view cybersecurity as an enterprise-wide risk, subject to control and monitoring at various levels of management throughout the company. As part of our cybersecurity risk management efforts, we regularly assess our program, including:

- Adequacy and effectiveness of the company's internal controls regarding cybersecurity
- Emerging cybersecurity developments and threats
- Cybersecurity response and contingency plans in the event of security breaches or other system disruptions

To assess and mitigate cybersecurity risks, we have implemented a global information security management program that includes administrative, technical and physical safeguards, and we periodically engage both internal and external auditors and consultants to assess and enhance our program. The company engages independent external auditors and consultants who are fully accredited under various information security standards, including those administered by the International Organization for Standardization 270001, the Payment Card Industry (PCI) Security Standards Council and the American Institute of Certified Public Accountants SOC (System and Organization Controls). Audits are an ongoing activity performed annually, at a minimum.

Data privacy

In addition to securing our network, we also protect the data and information Lumen collects, stores, uses and shares. Employee and customer data is encrypted, consistent with industry standards or legal requirements, both at rest and in transmission. We have adopted a data minimization policy designed to comply with applicable state, U.S. and other international jurisdictions' laws and ensure appropriate protections when sharing information with third parties, including vendors. We maintain other plans and programs to manage our data privacy risks, including a privacy policy and a cyber incident response plan. As part of the ERM process, the Risk and Security Committee receives reports on data privacy protection efforts and controls to meet and enhance legal and compliance requirements across the enterprise.

Information security training

Lumen requires all employees and contractors to participate in annual information security training designed to help our internal stakeholders understand, recognize and appropriately respond to, or escalate, potential cyber and data security risks for our customers, vendors, employees and the company as a whole. The mandatory training covers several information security topics including:

- Data security
- Hacking risks
- Insider threats
- Social engineering
- Malware
- Email and phishing
- Effective passwords
- Mobile devices
- Safe browsing
- Individual contributions to information security

We regularly review the training course content and topics in order to provide participants with relevant, current and helpful information.

Customer privacy

Safeguarding the personal information and protecting the privacy of all our stakeholders is a priority at Lumen. Like many companies, we have information about our customers that is used to support our products and services. We also share customer data where appropriate to meet our business goals or fulfill our legal obligations. We take reasonable actions to protect the information we have about our customers and expect those we share it with to protect it as well. The Lumen privacy policy describes how we use and protect the data we collect about customers and their privacy options. Our privacy policy is available at lumen.com/privacy.

Corporate Ethics and Compliance

Lumen's global corporate ethics and compliance program, which is overseen by the Risk and Security Committee of the Board, communicates the ethical and legal standards that govern our business conduct. We expect our employees, agents, business partners and other third parties with whom we do business to embrace our ethical business practices and to act with the highest level of integrity, consistent with applicable laws, industry and trade regulations. Our compliance program communicates these values and expectations.

Updates to Global Code of Conduct and Supplier Code of Conduct

The Lumen Code of Conduct sets forth the basic principles that guide our business conduct, consistent with our Unifying Principles, and provides resources to seek guidance and report concerns. Lumen's commitment to ethical business practices and compliance with laws extends globally. In 2020, we revised our Code of Conduct to emphasize our global commitment.

We also updated our Supplier Code of Conduct to better reflect the global nature of our business practices and to further emphasize our commitment to global human rights.

The Supplier Code of Conduct sets forth the standards of conduct that we expect from our suppliers, partners, contractors, vendors and other third parties.

Reporting concerns – our global Integrity Line

Lumen's culture is grounded in integrity, honest communication and mutual respect. Our Integrity Line is a multi-language, global compliance hotline which helps safeguard this culture by providing our employees and stakeholders with a mechanism to seek guidance and report concerns 24/7. Our people can contact the Integrity Line wherever they are located around the globe, via telephone, email or web intake. The ethics and compliance team reviews and tracks every report. Allegations of misconduct are referred for investigation, either to Human Resources, or our dedicated corporate investigations team. Lumen does not tolerate retaliation for seeking guidance, voicing concerns or participating in any internal or external investigation. We evaluate our hotline data quarterly, and track and monitor the efficacy of our hotline through analytics and surveys, such as our annual employee engagement survey. Lumen evaluates and modifies our program and training regularly to identify risks and to ensure greater overall effectiveness.

Commitment to human rights

Lumen is committed to proactively addressing human rights issues and risks within our business, through our influence and in the management of our relationships with third parties. Both our Code of Conduct and our Supplier Code of Conduct address our position on topics relating directly to human rights. In 2020, Lumen implemented a global human rights policy outlining our expectations in areas including privacy, data security, individual rights, freedom of association, diversity, inclusion and fair treatment, and working conditions including forced and child labor. We provide training to our employees to help them recognize and report concerns in these areas.

No tolerance for bribery or corruption

Lumen has no tolerance for corrupt business practices and unethical payments, including bribes and kickbacks. Our anti-corruption policy and Supplier Code of Conduct require our people and the third parties with whom we do business to adhere to all applicable anti-bribery and anti-corruption laws, including the Foreign Corrupt Practices Act and the United Kingdom Bribery Act. Our people receive training every year on anti-corruption laws and policies, and we supplement that training with targeted communications and training sessions. Our people are required to disclose and obtain pre-approval before offering anything of value to government officials, and these processes are regularly audited to assess compliance. In addition, we communicate our anti-bribery policy to our agents, contractors, partners and vendors. We conduct due diligence to ensure they meet our standards of integrity and require them to certify that they will abide by all applicable laws and regulations.

Lumen also strictly prohibits financial crimes, such as money laundering, the facilitation of tax evasion, terrorist financing, securities fraud and market manipulation.

Compliance with antitrust and fair competition laws

Lumen supports fair competition in the world marketplace. We recognize the benefits of competition for consumers and the free market and strongly oppose anticompetitive practices that stifle economic growth. Our policies require compliance with all antitrust and fair competition laws. We reinforce our policies through training and communication initiatives and provide scenario-based examples to ensure our employees can recognize, avoid and report anticompetitive conduct.

As we advance our purpose, we will do so ethically and consistent with all applicable laws globally. Additional information on our ethics and compliance program, including the global Code of Conduct and the Integrity Line, is available at lumen.com/en-us/about/governance/board-committees.html.



Political Contributions and Transparency

An important aspect of our work to strengthen our communities is encouraging our people to be actively involved, including supporting political candidates and initiatives of their choice. We expect our people and representatives to comply with all applicable laws regarding political contributions.

Lumen has established various political action committees (PACs), legally recognized organizations that accept voluntary contributions and make expenditures to support candidates for elected office. Only eligible employees may contribute to a Lumen employee PAC. Lumen does not attempt to influence employee contributions or political activities.

We value responsible corporate governance and participate in the political process so we can formulate public policies that benefit our customers, shareholders, employees and the communities we serve. We are transparent in our political contributions and expenditures, and we publish a semiannual political contributions report on our corporate website. Specifically, this report discloses our corporate political contributions and those of our political action committees in accordance with federal and state campaign finance laws, and contributions to trade associations and 501(c)(4) organizations.

Business Continuity Management (BCM)

As part of our risk management strategy, Lumen is committed to ensuring business resiliency and survivability during an incident or business disruption. BCM is designed to safeguard Lumen employees, assets, stakeholders and reputation in the event of a potential or actual critical business disruption. By aligning to the company's goals and using a proven standards-based framework, Lumen's BCM program supports an environment of prevention, collaboration, communication and response, enabling us to recover effectively if a major incident occurs. Our BCM adheres to ISO 22301:2012, the International Standard for Business Continuity Management (BCM) and engages internal and external auditors to assess the program's efficacy and compliance with customer requirements.

Our BCM supports Lumen's vision, strategy and corporate objectives with the following goals. Annually, the BCM:

- Evaluates the purpose and operations of every business unit in the company, identifying threats, hazards and potential impacts to critical business priorities
- Develops strategies for mitigation, continuity and recovery
- Maintains uninterrupted service whenever possible and, when necessary, coordinates recovery from business disruptions safely and quickly
- Enables continuous improvement by periodically reviewing program strategy and performance.

As one of four core members of the Communication Sector Coordinating Council partnering with the Department of Homeland Security National Coordinating Center (NCC), it is of paramount importance for Lumen to protect the operation of our company and our customers' business.

Our vision

To support our communities while building a sense of community

Our mission

To multiply our impact by supporting the passions of our people and empowering them to pay it forward

Community Engagement

Lumen aspires to be a positive influence in the world. We accomplish this goal through the work of our people in their communities. We strive to support the passions and interests of our people and empower them to make a difference. We are proud to provide many opportunities for them to be good neighbors by volunteering their time and talents to support the causes that matter most to them.

At Lumen, we focus our charitable giving on the passions of our employees, the next generation of innovators, providing basic needs to our local communities, and environmental causes. We support nonprofit organizations through our volunteer grants program, Dollars for Doers, and the match on our annual employee giving campaign. We help fight hunger through the match on our Campaign to Fight Hunger. In addition, we provide science, technology, engineering and math (STEM) solutions in pre-K-12 schools through our Teachers and Technology grants program.



Employee volunteer program and volunteer grants

Lumen encourages volunteerism year-round and we record thousands of volunteer service hours in our communities globally each year. To honor employees who give their time and service to causes important to them, Lumen awards volunteer grants to eligible charities through our Dollars for Doers program. The program allows employees to receive up to \$1,000 each calendar year to be granted to the eligible charity where they volunteer. In 2020, we awarded over 90 grants, totaling over \$45,000 in support of employee volunteerism. Lumen did not encourage our employees to participate in volunteer projects that required in-person interactions for most of 2020 due to COVID-19. We are proud to report that our employees still safely logged more than 17,500 volunteer hours to support our communities that needed so much help during

this challenging year.

Our focus on STEM



P-TECH student stats:

85%

First-generation college-seeker

43%

English Language Learner

81%

Under-represented or low-income

33%

Female

Lumen believes future generations should have the technology, education and skills they need to succeed in a world increasingly dependent on technology. We are committed to strengthening our young people and our communities by supporting youth education and technology-focused initiatives. We work with students to engage them early and interest them in the STEM curriculum. Pathways in Technology Early College High School (P-TECH) is one program where Lumen volunteers work with schools to design essential workplace competencies and technical skills. We assist in the design of high school and college course scope and sequence which will be taught to under-represented or low-income youth students during high school. Our goal with this program is to provide subject matter expertise and unique opportunities for these students to imagine a future in technology and, we hope, a future with Lumen.

Students apply to P-TECH and commit to six years to obtain an associate degree in Applied Science in Technology through a partnered community college. Each year, a new cohort of students enters the P-TECH program. In response to the shift to online learning due to COVID-19, our student program offerings have shifted as well. During the 2019-2021 school years, we have virtually offered "Lumen Learning Labs" in the areas of artificial intelligence, big data, cybersecurity and professional skills. Lumen professionals designed content material for the students and participated in expert panel sessions with them. All P-TECH students were offered the opportunity to obtain specialized P-TECH badges for completing the course work. We also provided virtual operations academy and recruiting information for the P-TECH college students.

We are proud of our P-TECH student population, who represent first-generation college-seekers, English language learners (ELL), females and students who are considered under-represented or low-income. These students represent an important aspect of our future, and we are honored to support them.



Teachers and Technology grants

To support STEM education, Lumen offers pre-K to 12th grade teachers in schools across the United States an opportunity to earn grants of up to \$5,000 to implement technology in their classrooms. In 2020, we supported 44,767 students across 26 states through the award of 113 grants totaling over \$500,000.

We are proud that our Teachers and Technology grants program has provided over \$11 million since its inception in 2008. While we will continue to support STEM learning in the classroom, Lumen will be retiring our Teachers and Technology grants program to reimagine our impact in STEM education. In 2021, we are aligning our community programs to our business goals and broadening our reach to support innovative STEM-based education around the globe.

Example of a Teachers and Technology grant award

Glacier Hill Elementary School of Arts and Science teacher Nicole Hosek serves as a STEAM specialist for K-5 students in her school. Nicole had a goal of integrating more technology into classrooms to help prepare students to do more engineering and computer science as required by state benchmarks. Through the Teachers and Technology grants, Nicole was able to purchase a class set of robotics kits. These kits offer a variety of building options, allowing for growth in STEM areas while enabling students to expand their creativity and coding and construction skills. Nicole hopes to be able to expand her students' knowledge of the world of robotics and better prepare them for the ever-changing world of technology.



Employee giving campaign

Lumen also provides employees with a method for continual giving to charities they support. During the company's annual employee giving campaign, U.S. employees can donate to eligible 501(c)(3) agencies through payroll deduction. In turn, the company's foundation matches those donations at 50 percent to the employee's choice of either the agency they are donating to or the United Way serving their work location.

Lumen employees gave:

\$1.1 M **1,200** **\$500K** **47**

Individual donations

Individual non-profit agencies

Match to local United Way organizations across the U.S.

States received charitable donations



Campaign to fight hunger

At Lumen, we know that regardless of the size or location of a community, hunger is an issue. Since 2009, we have worked to fight hunger in our communities through our annual campaign to fight hunger.

Through this campaign, our people can donate to food banks around the globe and help raise awareness of food insecurity in communities in our own backyard. We have provided more than 81 million meals since the program's inception. In 2020, through the

generous donations of our people and a corporate match, we provided over 400,000 meals to those in need across the globe.



PCs for People partnership

As schools closed in response to the COVID-19 pandemic and students were forced to learn remotely, the need for internet connectivity grew dramatically in importance. Many low-income families struggled to meet the demands of a remote learning environment due to factors such as not having a home computer. To help those in need, Lumen supported the nonprofit organization, PCs for People, in its mission to provide low-income families with the opportunity to have a computer in their home. In 2020, Lumen donated 1,982 computers and recycled 70,524 pounds of e-waste through PCs for People. Of the 3,241 individuals we helped through this partnership, 41 percent had never owned a PC, 68 percent were unemployed and 69 percent were African American/African. On average, the households had an annual income of \$15,770 and had one or more children per household. We donated \$75,000 to PCs for People to help make a more immediate impact for those needing computers. Our contributions have provided families access to essential tele health services, helped students with at-home learning and have given individuals who were job seeking access to the world during a time of isolation.

Lumen's impact through PCs for People:

3,241

Individuals served

68%

Unemployed

41%

Never before
owned a PC

69%

African American
/African

Lifeline / E-rate / Rural Healthcare

Lumen is a major participant in the FCC's Lifeline, E-rate and Rural Healthcare programs. Lifeline helps low-income households stay connected to the outside world by providing certain discounts on qualifying monthly voice or broadband service to qualified residential subscribers. Residents of tribal lands may qualify for an additional Lifeline discount, as well as support for initial installation costs for new service. E-rate provides funding for schools and libraries to obtain broadband services, while Rural Healthcare provides funding to help healthcare providers obtain necessary services. These programs help schools, libraries and healthcare systems stay connected to essential resources and services.

Our Opportunity – Business Model And Innovation



Innovation - Sustainable Products and Services

At Lumen we believe in collaborating with stakeholders across our value chain to drive operational excellence through continuous innovation. We empower our people and customers, collaborate with our strategic alliance partners and deliver value for our communities and investors by enabling the rapid adoption of the technologies of the 4th Industrial Revolution.

The Lumen Platform seeks to deliver these new technologies across all industries to meet sustainability goals. We believe our platform is a key enabler for the smart cities, smart factories and smart farms, addressing the complex challenges of expanding opportunities and delivering sustainable growth in a world of finite resources.

Lumen has built a dedicated innovation team of business leaders, technologists and strategists who are focused on driving innovation. Among the many sustainability benefits of our innovation projects, some of those with the most promise include:

- At our Edge Experience Center, the ability of customers to see and experience first-hand the potential of Lumen Edge Computing solutions to support the IoT projects that improve the energy efficiency of their offices, hospitals, factories, job sites and farms
- The continuous evolution of a suite of platform enablement tools, including application programming interface (APIs) based on an open and modular architecture, that enable the deployment of the low latency services driving real-time waste reduction and optimization of energy and water usage in industrial applications



- Cloud monitoring and analytics capabilities that transform data from raw information into actionable insights, which drive automation and reduced risk of down time in manufacturing
- Private wireless solutions that improve the efficiency of large-scale operations such as construction sites, campuses and communities, helping reduce waste and energy usage while improving worker and citizen safety
- Cutting edge network technologies such as open source SD-WAN and data access acceleration that enable enterprises to extend the use of reporting tools to remote sites, reduce the unnecessary movement and duplication of data and reduce overall IT resource consumption
- The application of artificial intelligence (AI) and machine learning to monitor and proactively manage next generation IoT devices, including self-provisioning to address urgent challenges such as emergency health care and disaster relief
- Polymorphic network and embedded systems that enable AI-driven automation of IT resources, which improve their own performance and adapt to changing environmental conditions in real time

The common thread that runs through all these efforts is tying business value to the sustainability improvements that our Lumen innovations and platform facilitate. Lumen works in a spirit of collaboration with alliance partners and customers to bring innovative new services to market quickly, while also ensuring they meet applicable standards for security, privacy and resilience.

One of the most promising benefits of the 4IR is the empowerment of people, governments and businesses to collaborate and harness the power of new technologies to further human progress. Lumen provides a platform for the amazing things that we will do together to sustain that progress for the long term.

Creating a safer internet

Black Lotus Labs, our threat research arm, reflects our investment in focusing on deep network-based threat intelligence. The Black Lotus Labs team is composed of security professionals and data scientists who analyze and respond to cyber threats across Lumen's global network: hunting, identifying and observing bad actors attempting to leverage malicious code. The team then reviews their time-triggered protocols (TTPs) to identify the infrastructure and the command and controls (C2s) they are using so they can validate threats on the internet. Once verified, they take them down. They do this to help protect the internet through sharing our threat intelligence with the security community, notifying victims and proactively mitigating known cyber threats.

Since 2013, Black Lotus Labs has been baselining the behavior of the Lumen global backbone by ingesting and analyzing billions of data records daily and then using this baseline to detect potentially malicious anomalies. Each day, machine learning models developed by Black Lotus Labs ingest over 139 billion NetFlow sessions and approximately 771 million DNS queries. We correlate these tracked threats against our NetFlow and DNS metadata to alert customers to a potential compromise. The threat discovery and validation done by Black Lotus Labs enhances the fidelity of our deep network-based intelligence.

Learn more at: lumen.com/en-us/security/black-lotus-labs.html.

Supplier Management

Lumen uses suppliers and third parties a part of our supply chain to accomplish our business objectives. Many of these suppliers are within the technology and telecom industries. As documented in Lumen's Supplier Code of Conduct, Lumen expects all suppliers with whom we do business to embrace and share our commitment to integrity and compliance with law, and we take certain steps to ensure our suppliers share our values.

All suppliers are required to comply with Lumen's Supplier Code of Conduct. The Supplier Code requires that suppliers act with integrity and comply with laws and sets forth the following:

- Suppliers must share Lumen's commitment to human rights and must prohibit and prevent the use of any form of forced labor or child labor
- Suppliers must recognize and protect employees' freedom of association
- Suppliers must maintain a healthy and safe working environment for their employees and representatives and adhere to applicable health and safety laws
- Suppliers must comply with all environmental laws

Lumen engages in a robust diligence review process for suppliers. Further, our supplier agreements require execution of a certification regarding compliance with anti-bribery laws, international trade requirements and conflict minerals provisions. Lumen's supplier agreements also contain audit rights for compliance with the Supplier Code and ethical provisions. Lumen engages in assessments of certain high-risk suppliers, including evaluation of suppliers' ethics, security, and environmental and sustainability practices.

Supplier diversity



“ Lumen is a technology leader. Supplier and vendor diversity represent a strategic advantage in our transformation journey. Diverse suppliers and vendors help create value for our customers and shareholders by providing us with business insight that only comes from including cross-cultural perspective on innovation, performance and profitability.”

— Jeff Storey, President and CEO of Lumen

The Corporate Supplier Diversity organization is an integral part of Lumen's global procurement and supply chain. This team identifies and encourages business opportunities for purchasing products and services from certified small businesses as well as businesses run by and supporting women, minorities, disabled veterans, veterans, people with disabilities and LGBTQ+ individuals.

Our Statistics And Accomplishments

The following is a snapshot of Lumen's ESG metrics. Because a new materiality assessment will be completed in 2021, new metrics may be added in future reporting. Also, some metrics could change or be removed. We believe that Lumen's new materiality assessment will help identify and report on the key ESG risks and opportunities that are most relevant and material to our stakeholders.

Workforce Data

Gender Representation of Global Employees (%)

| | Women | Men | N/A* |
|----------------------------|-------|-------|------|
| Management | 28.3% | 71.7% | 0.1% |
| Technical | 19.1% | 80.8% | 0.0% |
| All Other Employees | 31.0% | 69.0% | 0.0% |

Racial/Ethnic Group of U.S. Employees (%)

| | Asian | Black or African American | Hispanic or Latino | White | Other | N/A* |
|----------------------------|-------|---------------------------|--------------------|-------|-------|------|
| Management | 5.1% | 4.3% | 5.8% | 82.7% | 1.9% | 0.3% |
| Technical | 11.1% | 5.6% | 6.0% | 74.1% | 2.9% | 0.3% |
| All Other Employees | 3.3% | 9.1% | 9.2% | 75.1% | 3.1% | 0.2% |

Notes: 1. Job classifications based on EEO-1 codes. 2. EEO-1 codes only apply to U.S. 3. Mapped to global job titles that correlated to U.S. job titles/ OFCCP Code where applicable to determine gender representation globally. 4. Numbers may be rounded.

Health and Safety Metrics

| Category | Unit | Industry Average (Recent Year) | 2020 | 2019 | 2018 |
|---------------------------------------|-----------------------------|--------------------------------|------|------|--------------|
| United States | | | | | |
| High Consequence Injury Rate | Per 100 Employees Per Annum | Not reported | 0.16 | 0.31 | 0.32 |
| Total Recordable Incident Rate | Per 100 Employees Per Annum | 2.8 | 1.9 | 2.25 | 2.28 |
| Employee Fatalities | # | N/A | 0 | 0 | 0 |
| EMEA | | | | | |
| High Consequence Injury Rate | Per 100 Employees Per Annum | Not reported | 0 | 0 | Not reported |
| Total Recordable Incident Rate | Per 100 Employees Per Annum | Not reported | 0.32 | 0.48 | Not reported |
| Employee Fatalities | # | N/A | 0 | 0 | Not reported |
| LatAm | | | | | |
| High Consequence Injury Rate | Per 100 Employees Per Annum | Not reported | 0 | 0 | Not reported |
| Total Recordable Incident Rate | Per 100 Employees Per Annum | Not reported | 0.09 | 0.69 | Not reported |
| Employee Fatalities | # | N/A | 0 | 0 | Not reported |

- **High Consequence Injuries** are work-related injuries that result in a fatality or injuries from which the worker cannot, does not, or is not expected to recover fully to pre-injury health status within 6 months
- **Recordable Injuries for U.S. and LatAm** are based on country regulations

- **Recordable Injuries for EMEA** include those that resulted in medical treatment beyond first aid, including ergonomic cases involving medical consultation and/or treatment
- 2019 total recordable injury rate figures for EMEA were recalculated since prior ESG report publication due to a) improved exposure data and b) redefinition of “recordable injuries”
- 2018 (U.S.) and 2019 (U.S., EMEA, LatAm) high consequence injury rate figures were recalculated since prior ESG report publication due to a) improved exposure data and/or b) redefinition of “high consequence injuries”







Environmental Targets and Metrics

| Environmental Sustainability Metrics | | | | | | | | |
|--------------------------------------|----------------------------|-----------|------------------|--|------------------|---------|---------|---|
| Category | Measure | Scale | Unit | Target /Goal | 2020 | 2019 | 2018 | Target/ Goal Status |
| GHG Emissions | GHG Scope 1 | Thousands | Metric tons CO2e | See below for combined Scope 1+2 target | Being Calculated | 264 | 278 | See below for combined Scope 1+2 target |
| | GHG Scope 2 (Market Based) | Thousands | Metric tons CO2e | See below for combined Scope 1+2 target | Being Calculated | 1,876 | 2,048 | See below for combined Scope 1+2 target |
| | GHG Scope 1+2 (Combined) | Thousands | Metric tons CO2e | SBT-1: 18% reduction (of Scope 1+2) by 2025 compared to 2018 | Being Calculated | 2,140 | 2,326 | 44% of target met |
| | GHG Scope 3 (Upstream) | Thousands | Metric tons CO2e | SBT-2: 10% reduction (of Scope 3 upstream emissions) by 2025 compared to 2018 | Being Calculated | 1,521 | 1,776 | Met |
| Renewable Energy | Renewable purchase | Thousands | MWh | Increase | Being Calculated | 280,189 | 195,368 | Being met |












- 2020 Scope 1, 2, and 3 GHG emissions and renewable energy figures are still being calculated; the information that Lumen submits to CDP is typically completed in July for the previous year
- 2018 Scope 1, 2, and 3 GHG emissions were re-baselined, primarily due to identification of additional GHG resources
- 2019 renewable purchase figure includes 30,038 MWh related to renewable energy purchases in Brazil for which the supplier was unable to provide certificates of origin


Sustainability Accounting Standards Board (SASB) Index

We are in the process of developing our SASB program, however in an effort to provide transparency for our stakeholders, we are responding for the first time to the SASB for the Technology and Communications sector, aligning to the Telecommunications and the Software & IT Services sectors. All data is as of or for the year ended December 31, 2020 unless otherwise noted. The information below is a general concordance, meant only as an indicator of our intention to align with the metrics recommended. The information or level of detail may change following our completed materiality assessment.

| Accounting Metric | Code | Response/Location |
|---|--------------------------------|--|
| Environmental Footprint of Operations | | |
| (1) Total energy consumed, | TC-TL-130a.1 / | (1) 5,594,205 MWh (2019) |
| (2) percentage grid electricity, | TC-SI-130a.1 | (2) 95% (2019) |
| (3) percentage renewable | | (3) 5% (2019) |
| (1) Total water withdrawn, | TC-SI-130a.2 | (1) 484,254,000 gallons (in North America) |
| (2) total water consumed, percentage of each in regions with High or Extremely High Baseline Water Stress | | (2)  |
| | | For other information, please see the “Water” section of this report. |
| Discussion of the integration of environmental considerations into strategic planning for data center needs | TC-SI-130a.3 | Please see the “Energy efficiency and reduction initiatives” section of this report |
| Data Privacy & Freedom of Expression | | |
| Description of policies and practices relating to behavioral advertising and customer/user privacy | TC-TL-220a.1 / TC-SI-220a.1 | Please see the “Data Privacy” and “Customer Privacy” sections of this report |
| Number of customers/users whose information is used for secondary purposes | TC-TL-220a.2 / TC-SI-220a.2 |  |
| Total amount of monetary losses as a result of legal proceedings associated with customer/user privacy | TC-TL-220a.3 / TC-SI-220a.3 |  |
| (1) Number of law enforcement requests for customer/user information, (2) number of customers/users whose information was requested, (3) percentage resulting in disclosure | TC-TL-220a.4 / TC-SI-220a.4 |  |
| List of countries where core products or services are subject to government-required monitoring, blocking, content filtering, or censoring | TC-SI-220a.5 |  |
| Data Security | | |
| (1) Number of data breaches, (2) percentage involving personally identifiable information (PII), (3) number of customers/users affected | TC-TL-230a.1 / TC-SI-230a.1 |  |
| Description of approach to identifying and addressing data security risks, including use of third-party cybersecurity standards | TC-TL-230a.2 TC-SI-230a.2 | Please see the “Cybersecurity” section of this report |
| Recruiting & Managing a Global, Diverse & Skilled Workforce | | |
| Percentage of employees that are (1) foreign nationals and (2) located offshore | TC-SI-330a.1 | We currently do not disclose the data as specified, however, at December 31, 2020, we had approximately 39,000 employees globally, of which approximately 18% work outside the U.S. (including U.S. citizens working in non-U.S. jurisdictions). |
| Employee engagement as a percentage | TC-SI-330a.2 | [response TBD based on survey process clarification] |

 - under evaluation for possible future reporting

| | | |
|---|--------------------------------|--|
| Percentage of gender and racial/ethnic group representation for (1) management, (2) technical staff, and (3) all other employees | TC-SI-330a.3 | Please see the “Workforce data” section of this report for more information |
| Product End-of Life Management | | |
| (1) Materials recovered through take back programs, percentage of recovered materials that were (2) reused, (3) recycled, and (4) landfilled | TC-TL-440a.1 | Please see the “Recycling and product end-of-life management” of this report for more information on our takeback program |
| Intellectual Property Protection, Competitive Behavior & Open Internet | | |
| Total amount of monetary losses as a result of legal proceedings associated with anti-competitive behavior regulations | TC-TL-520a.1 TC-SI-520a.1 |  |
| Average actual sustained download speed of (1) owned and commercially-associated content and (2) non-associated content | TC-TL-520a.2 |  |
| Description of risks and opportunities associated with net neutrality, paid peering, zero rating, and related practices | TC-TL-520a.3 |  |
| Managing Systemic Risks from Technology Disruptions | | |
| (1) System average interruption frequency and (2) customer average interruption duration | TC-TL-550a.1 |  |
| Number of (1) performance issues and (2) service disruptions; (3) total customer downtime | TC-SI-550a.1 |  |
| Discussion of systems to provide unimpeded service during service interruptions / Description of business continuity risks related to disruptions of operations | TC-TL-550a.2 / TC-SI-550a.2 | Please see the “Business continuity management” section of this report for more information |
| Activity Metric | | |
| Number of wireless subscribers | TC-TL-000.A |  |
| Number of wireline subscribers | TC-TL-000.B |  |
| Number of broadband subscribers | TC-TL-000.C | At December 31, 2020, we served 4.5 million consumer broadband subscribers. Our methodology for counting consumer broadband subscribers may not be comparable to those of other companies. |
| Network traffic | TC-TL-000.D |  |
| (1) Number of licenses or subscriptions, (2) percentage cloud-based | TC-SI-000.A |  |
| (1) Data processing capacity, (2) percentage outsourced | TC-SI-000.B |  |
| (1) Amount of data storage, (2) percentage outsourced | TC-SI-000.C |  |

 - under evaluation for possible future reporting

Task Force on Climate-Related Financial Disclosures (TCFD) Index

We are responding for the first time to the TCFD. We are in the process of implementing our TCFD program, however we are committed to providing transparency on our climate change risk management, governance and performance and are providing the information below based on our CDP responses provided in 2020. The information below is a general concordance, meant only as an indicator of our intention to align with the metrics recommended. The information or level of detail may change following our completed materiality assessment. A summary of our response to the TCFD-recommended disclosures is below. For more information on our climate strategy, please see our CDP response available at [CDP.net](https://www.cdp.net).

TCFD REPORT

| DISCLOSURE ITEM | RECOMMENDED DISCLOSURE | DESCRIPTION | LUMEN REFERENCE |
|----------------------------|---|--|--|
| Governance | a. Board Oversight | Describe the Board's oversight of climate-related risks and opportunities | 2020 CDP Climate Change Response - C1.1, C1.1a, C1.1b (Pg. 4-6) |
| | b. Management's Role | Describe management's role in assessing and managing climate-related risks and opportunities. | 2020 CDP Climate Change Response - C1.2, C1.2a (Pg. 7-8) |
| Strategy | a. Risks and Opportunities | Describe the climate-related risks and opportunities the organization has identified over the short, medium, and long term. | 2020 CDP Climate Change Response - C2.1, C2.2a (Pg. 9, 15) |
| | b. Impact on Organization | Describe the impact of climate-related risks and opportunities on the organization's businesses, strategy, and financial planning. | 2020 CDP Climate Change Response - C2.1b, C2.3, C2.3a, C2.4, C2.4a (Pg. 10, 18-33) |
| | c. Resilience of Strategy | Describe the potential impact of different scenarios, including a 2°C scenario, on the organization's businesses, strategy, and financial planning. | 2020 CDP Climate Change Response - C3.1, C3.1a, C3.1c (Pg. 33-34). We are in the process of developing/completing scenario analyses. |
| Risk Management | a. Risk Assessment Processes | Describe the organization's processes for identifying and assessing climate-related risks. | 2020 CDP Climate Change Response - C2.2 (Pg. 10-15) |
| | b. Risk Management Processes | Describe the organization's processes for managing climate-related risks. | 2020 CDP Climate Change Response - C1.2a, C2.2 (Pg. 7, 10-15) |
| | c. Integration into Overall Risk Management | Describe how processes for identifying, assessing, and managing climate-related risks are integrated into the organization's overall risk management. | 2020 CDP Climate Change Response - C1.1b, C1.2a, C2.1b, C2.2 (Pg. 5-8, 10-15) |
| Metrics and Targets | a. Climate-Related Metrics | Disclose the metrics used by the organization to assess climate-related risks and opportunities in line with its strategy and risk management process. | The "Environmental Sustainability Metrics" table of this report contains established resource efficiency and energy source related metrics. We are in the process of developing additional metrics related to our climate-related risks and opportunities. |
| | b. Scope 1,2,3 GHG Emissions | Disclose Scope 1, Scope 2, and, if appropriate, Scope 3 greenhouse gas [GHG] emissions, and the related risks. | 2020 CDP Climate Change Response - C6.1, C6.2, C6.3, C6.4, C6.5, C6.7, C6.7a (Pg. 48-57) and "Environmental Sustainability Metrics" table of this report. |
| | c. Climate Related Targets | Describe the targets used by the organization to manage climate-related risks and opportunities and performance against targets. | 2020 CDP Climate Change Response - C4.1, C4.1a (Pg. 36-38) and "Environmental Sustainability Metrics" table of this report. |

Lumen Accolades and Awards



- 100% Disability Equality Index “2020 Best Places to Work for People with Disabilities”
- Apertura Magazine: 2020 Best Employers list
- ATLANTIC-ACM 2020 Global Wholesale Service Provider Excellence Award
- Awarded an “A-” score by CDP in 2020 – Achieving “Leadership level”
- Barron’s Top 100 Sustainable Companies in 2020
- CRN 2020 Women of the Channel
- Forbes America’s Best Employers for Diversity list
- Frost & Sullivan: 2020 Latin America Enterprise Services Company of the Year Award
- Frost & Sullivan: top innovator in U.S. Business Carrier Ethernet Market
- Honored as Best of Best Employer by Black Employment and Entrepreneur Journal and the Hispanic Network Magazine
- Human Rights Campaign’s 2020 Corporate Equality Index – 100% Score
- Listed with FTSE4Good in 2020
- Lumen named a 2020 Employer Champion by the Oklahoma Veteran Alliance & Department of Veteran Affairs
- Lumen’s Channel Partner Program earned CRN 5-Star Rating for second year in a row
- Military Times “Best for Vets”: Employers 2020
- National Veterans Owned Business Association: list of the best U.S. corporations committed to working with veteran-owned businesses
- Newsweek’s 2021 list of America’s Best Customer Service
- Ranked as a “Top 50 Employer” in the U.S. in five magazines within Equal Opportunity Publications’ portfolio, including Equal Opportunity, Woman Engineer, Minority Engineer, Careers & disABLED, and STEM Workforce Diversity
- Standard Insurance Company: 2020 Workplace Possibilities Champion
- The Civic 50 Colorado 2020 Honoree by Points of Light in partnership with CSR Solutions of Colorado, recognizes the state’s most community-minded companies
- Washington Technology’s Top 100 Federal Government IT Contractors list for 2020

The information in this report is subject to change, and Lumen will not necessarily disclose such changes. The information may be updated, amended, supplemented, or otherwise altered by subsequent reports or filings by Lumen. The contents of this voluntary ESG Report are informed by various frameworks, including standards and recommendations. These various frameworks define significant concepts differently and we do not attempt to reconcile such differences in our overarching ESG approach. We plan to continue enhancing our ESG-related disclosures and increasing alignment with the referenced frameworks, even as such frameworks continue to rapidly evolve. As disclosure frameworks or reporting requirements change worldwide, the information we share and the way it is shared may change over time. While selected metrics receive limited assurance from an independent third party, this is inherently a less rigorous process than reasonable assurance sought in a typical auditing engagement. Our failure to achieve progress on our metrics on a timely basis, or at all, could adversely affect our business, financial performance, or growth. References in this ESG Report to certain data points should not be construed as a characterization regarding the “materiality” of such information, as evaluated in the context of U.S. securities laws. Except for historical and factual information, the matters set forth in this ESG Report identified by words such as “will,” “should,” “expects,” “anticipates,” “believes,” “plans,” “intends,” and similar expressions are forward-looking statements as defined by the federal securities laws, and are subject to the “safe harbor” protections thereunder. These forward-looking statements are not guarantees of future results and are based on current expectations only, and are subject to various uncertainties. Actual events and results may differ materially from those anticipated by us in those statements for several reasons, including those discussed in this ESG Report and under Item 1A, “Risk Factors,” and elsewhere in our Annual Report on Form 10-K for the year ended December 31, 2020, as updated by Part II, Item 1A, “Risk Factors” in our subsequently filed Quarterly Reports on Form 10-Q and other documents we file from time to time with the U.S. Securities and Exchange Commission. We may change our intentions or plans discussed in our forward-looking statements without notice at any time and for any reason.

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**Our purpose is to further
human progress through
technology**