



2020 Sustainability Report

ciena[®]

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A message from Gary Smith

We take seriously our role as stewards of the global networks that connect and bind us together with family, friends, colleagues, customers, and partners around the world. This has never been more pronounced than in a global pandemic, when nearly everyone has been affected by unpredictable and challenging circumstances. We are dedicated to enabling greater connectivity that improves the lives and experiences of people around the world and, in so doing, drives a sustainable digital future.

Our continued progress across multiple dimensions of sustainability is rooted in our people, who are undeniably our single greatest asset. Through their collective efforts, we achieve exceptional engineering feats, impactful social programs, progressive people initiatives, and upstanding governance practices. This means that we are not merely a technology leader. We are also a sustainability leader. And enhancements since our last report, including a few highlights below, illustrate our commitment to making a difference and our drive for continual improvement.

Innovation leadership and sustainability go hand in hand

At a time of exploding network traffic and service expansion, our greatest impact on the environment is through our technology innovation, which continually allows our customers to ‘do more with less’—less power, less space, and less cost. For more than a decade, our WaveLogic™ coherent modem solutions have been redefining networking, repeatedly raising the bar on performance and yielding immense sustainable outcomes. Through the end of fiscal 2019, energy-efficient product innovation related to our first four generations of this technology enabled network operators to avoid more than three million metric tons of CO2 emissions. That’s the equivalent



of emissions from burning nearly 3.5 billion pounds of coal, or the carbon sequestered by more than 4 million acres of forest each year—roughly the size impacted by the 2020 California wildfires.

And we’re not done. In fiscal 2020, we released and began to deploy our next-generation WaveLogic 5 Extreme, the industry’s first single wavelength 800G solution. It leapfrogs the nearest competitive offerings with 50 percent more capacity and a 50 percent improvement in space and power consumption as compared to its previous generation. Driving further sustainability outcomes, our footprint-optimized WaveLogic 5 Nano is a technology that is tailored to address even lower space, power, and operational requirements, including those of data center interconnect applications.

Beyond our product design, we are increasingly focused on the environmental impact of our operations. In partnership with Tree-Nation, we offset 43 percent of our operational emissions from fiscal 2019, completely mitigating the impact of our site energy consumption and business travel during the year. We also established a cross-functional Environmental Steering Committee to further integrate sustainability thinking throughout our

business practices and decision making, and to drive targeted goals that address our emissions and impact on the environment.

Through deliberate programming and offsets, we have committed that our operations will be carbon neutral by the end of 2023. And, we will be evaluating adherence to a science-based target and limiting the impact of our operations to support a goal to keep the Earth's temperature below a 1.5°C increase from pre-industrial levels.

Investing in our people and authentic culture

We benefit from our outstanding employees bringing their ideas, motivation, and full capabilities to life. That's how they enable us to force the pace of innovation and redefine what is possible. It's our goal to give them a vibrant and inclusive environment where everyone feels they can belong.

Investing in our employees and their total wellbeing, offering competitive compensation and benefits, and adopting progressive people management practices are core elements of our corporate strategy. We've made meaningful strides across these vectors, including a significant emphasis on safety, mental health, and supplemental benefits during the pandemic. During fiscal 2020 we launched our People Promise, focused on fostering an environment where employees can make a difference, are empowered, and feel included. To reinforce our unique and authentic culture and our adoption of best practices, we also created and resourced new, dedicated functions focused on Diversity, Inclusion and Belonging initiatives as well as Corporate Compliance and Ethics, and we're excited to see the outcomes of these new levels of focus.

Using our core strengths as a force for good in our communities

Through our social and community engagement, we aim to mobilize our core strengths—our people, innovation, and partnerships—as a force for good that is a natural extension of our business. In the face of the pandemic, we enhanced our Ciena Cares program, which provides corporate matching for employee charitable donations and volunteer service. During fiscal 2020 we provided more than \$1.5 million in matching dollars to support the organizations that our employees are passionate about. In truly inspiring ways, our employees volunteered nearly 6,000 hours of commitment and energy in and around our communities. To reinforce this culture of service, we have set an enterprise goal to collectively volunteer at least 20,000 hours in fiscal 2021, including the promotion of virtual volunteering.

In fiscal 2020, we launched our Digital Inclusion initiative, focused on supporting underserved students in our communities around the world. Under this program, we have committed \$10 million over five years to expand opportunities for 100,000 students by enabling greater digital connectivity for an exponential societal impact, including through access to computing technology and skills. Among other programs, we recently partnered with Verizon Innovative Learning, which targets under-resourced Title 1 schools across the U.S. to bolster remote learning and support digital inclusion. Through this partnership, we have already provided connected devices for students at Hubbard Media Arts Academy in San Jose, California, and Baltimore Design School (BDS) in Maryland. We are collaborating with Spark, a telecommunications and digital services company, to help address digital inequity in New Zealand by providing free in-home

internet access to eligible students in decile 1 high schools. We are only just getting started and are confident that we have the know-how, energized workforce, and partnerships to drive outcomes that help bridge this opportunity gap.

Our work continues

We have done much more in the past several years, and I hope you enjoy reading this Sustainability Report to learn about our achievements and future objectives.

We believe it is vitally important to be good stewards of the Earth, supporters of the communities in which we work and live, and business partners to our customers and suppliers. Our legacy will ultimately be what we do to make a difference. Sustainability is both a priority and an opportunity to create value for us, our employees, and the communities in which we operate. We are confident that our sustainability initiatives provide us a competitive advantage in the marketplace with our key stakeholders, while enlivening and providing meaning to our work. We are committed to being part of the solution, creating a more sustainable future, and enabling the world to be a better place for all of us to live, work, and thrive.

I am extremely proud to be part of the Ciena family and our many activities that promote a better, more connected world.



Introduction

Our sustainability practices and policies are designed to help us operate as a supplier of choice, an employer of choice, and a neighbor of choice around the globe.

Our 2020 report contains some exciting developments since our introductory report issued two years ago, and it provides more focused insights into material areas for us, as well as a mapping to the reporting frameworks of the Global Reporting Initiative (GRI), the Sustainability Accounting Standards Board (SASB), and the Task Force on Climate-related Financial Disclosures (TCFD).

We continue to be a member of the Responsible Business Alliance (RBA) and have adopted the principles set out in the RBA Code of Conduct, which establishes standards to ensure working conditions in the electronics industry supply chain are safe, that employees are treated with dignity and respect, and that business operations are environmentally responsible and conducted ethically. Fundamental to these principles is the understanding that a business must operate in full compliance with the laws of the countries in which it operates. Importantly, we require our suppliers to adhere to these same standards and principles.

Sustainability maturity

We continue to enhance our overall approach to sustainability, and we validate that approach on an annual basis through an independent, third-party sustainability assessment conducted by industry leader EcoVadis. In 2020, our rating increased, resulting in the award of a 'Platinum' medal reflecting our ranking in the top 1 percent of all assessments conducted.



Materiality



In 2017, we conducted an internal materiality assessment to identify the Environmental, Social, and Governance (ESG) topics that are most important to our business and our stakeholders. The results of this assessment are set forth in the above materiality matrix. Those areas reflecting the coincidence of most importance to us and our key stakeholders, shown above, have shaped our sustainability focus areas over the period of this report.

Our materiality assessment process included the following:

- **Topic identification:** We identified topics based on the GRI and SASB frameworks and the guidelines of the RBA.
- **Prioritization:** We gathered feedback from internal and external stakeholder groups and then prioritized the topics by evaluating the level of stakeholder concern, relevance to us, and our ability to influence the issue.
- **Material topic validation:** After rating the significance of each element on a four-point scale, elements were classified into 13 categories under either the environmental, social, or governance topic areas. We used aggregated ratings across the stakeholder groups to determine the relative importance of each element.

Through the process outlined above, we determined that the three categories of greatest importance are governance, employee diversity, and development and supply chain.

COVID-19 response

The COVID-19 pandemic affected all of us in meaningful ways. Of paramount importance to us, we've taken extensive measures to ensure the safety and wellbeing of our employees and our extended family of customers and partners around the world. We activated our business continuity plans to ensure that we continue to operate with minimal disruption. The vast majority of our employees are working remotely, not traveling, and practicing appropriate social-distancing and hygiene recommendations. We also shifted our engagement strategies to digital platforms and virtual collaboration tools so we remain in touch with one another and our customers.

At a higher level, as a key supplier to the telecommunications industry, we are custodians of the immense networks that connect and bind us together. In a world where physical distancing is common, it is the network that keeps us connected to loved ones, friends, colleagues, and important services. The network and its ability to connect people has a tremendous role to play in helping the world navigate and overcome the challenge of this global pandemic.

As a key enabler of innovations that drive network connectivity, we have a responsibility to do everything we can to ensure that network operators can deliver critical next-generation connectivity at all times, especially during this crisis. Our customers are reporting rapid growth in bandwidth demand resulting from the dramatic shift in how we are living today. These demands stem from the exponential rise in remote working to maintain the flow of business and commerce; a shift to distance education so our children continue to learn and develop; and a rise in e-gaming and streaming entertainment for the reprieve we all need. Importantly, our technology is essential for governments to coordinate efforts and communicate instruction to citizens, and for the healthcare community—from first responders to hospitals and telemedicine to medical research—to treat patients and contain the spread of COVID-19.

We are on this journey together, and we are honored that we play a critical role in serving the world's connectivity needs. We have the industry's leading innovation, the global scale and reach, and the financial and operational strength to deliver on this promise now and as this situation continues to evolve. We remain focused on delivering networks that can successfully adapt to ever-changing demands so that people and companies can maintain their connections.

Our COVID-19 response

Employee safety and wellbeing

- Prioritized employee health and safety, following Centers for Disease Control and Prevention (CDC) and other relevant guidelines
- Temporarily closed offices globally
- Required vast majority of employees to work from home
- Instituted business travel bans and restrictions
- Adopted new pandemic leave and work-from-home benefits
- Launched wellbeing initiatives focusing on mental health

Business continuity

- Established a COVID-19 business continuity planning team
- Implemented business continuity plans to minimize business disruption
- Mitigated supply chain disruption, including through multi-sourcing
- Met customer fulfillment needs despite disruptions in ability to provide services and access sites
- Invested significantly in digital platforms and virtual collaboration, enabling a smooth transition to remote working

Financial resiliency

- Increased profitability despite slowdowns in customer spending and business velocity that negatively impacted annual revenue
- Demonstrated a resilient operating model and ability to continue to invest in innovation leadership
- Strengthened balance sheet and generated cash flow
- After a temporary pause, reinstated stock repurchase plan in first quarter of fiscal 2021

Community outreach and support

- Tripled corporate matching for employee charitable donations and volunteering through the Ciena Cares program
- Offered 2500+ virtual volunteering opportunities
- Volunteer rewards extended beyond non-profits to include neighborly acts of kindness
- Donated personal protective equipment
- Designed and 3D printed face shields and components for healthcare workers
- Launched Digital Inclusion commitment to provide greater opportunities for underserved students through access, technology, and digital skills
- Participated in joint digital inclusion community projects with business partners

Environment

Network demands are changing at record speed. Our customers need solutions that enable them to manage unpredictable bandwidth demand with the greatest flexibility, while also incurring less overhead, complexity, and cost. Amid exploding traffic and service expansion, we deliver energy-efficient networking solutions, enabling operators to do more with less and reduce their environmental footprint.

Our commitment to the environment informs our business strategy, covering everything from how we develop products to how we manage our operations and real-estate footprint.

Climate

Addressing climate change is a priority for us. Mitigating climate risks and reducing our Greenhouse Gas (GHG) emissions are integrated into our long-term strategic planning and operations management.



We recently committed to being carbon neutral across our global operations by 2024, in line with the following scope of activity:

Scope 1 Emissions:
<ul style="list-style-type: none"> Natural gas consumption Fuel consumption for rented vehicles Diesel generator emissions Fugitive emissions from refrigerants
Scope 2 Emissions:
<ul style="list-style-type: none"> Electricity consumption
Scope 3 Emissions:
<ul style="list-style-type: none"> Business travel Contract manufacturing emissions Waste generated in operations Employee commuting Downstream transportation and distribution

We are also seeking to explore and understand the impact of setting a science-based target for our business in order to more closely align our ambitions with the goals of the Paris Climate Accord, and we will be partnering with a third-party expert in this field to facilitate this objective.

Environmental Steering Committee

To deliver on our carbon neutrality commitment, we established a new cross-functional Environmental Steering Committee (ESC) in 2020 to provide leadership and oversight for initiatives that support our ongoing commitment to reduce the environmental impact of our operations. Among other things, the ESC will assist the Executive Leadership Team in:

- Implementing functional, geographic, or enterprise-wide programs or goals to support our carbon neutrality goal
- Understanding the impact upon our operations of undertaking a science-based carbon-reduction target
- Developing, implementing, and monitoring policies intended to promote our environmental goal and targets

The Ciena Forest

In June 2020, we partnered with [Tree-Nation](#) to offset some of our operational emissions by planting a tree for every employee. We continue to grow the Ciena Forest as we gift more trees to new hires, celebrate achievements, and recognize milestones. We also give our employees the option to plant more trees, to become a serial planter, or to share our forest with family and friends, so they can plant their own trees.

Additionally, through this partnership, we took a significant step in October 2020, offsetting 45,623 tons of CO2 by purchasing Verified Carbon Units (VCU) to offset the entirety of our fiscal 2019 business travel and energy consumption emissions, which represent 43 percent of our total emissions for the year.



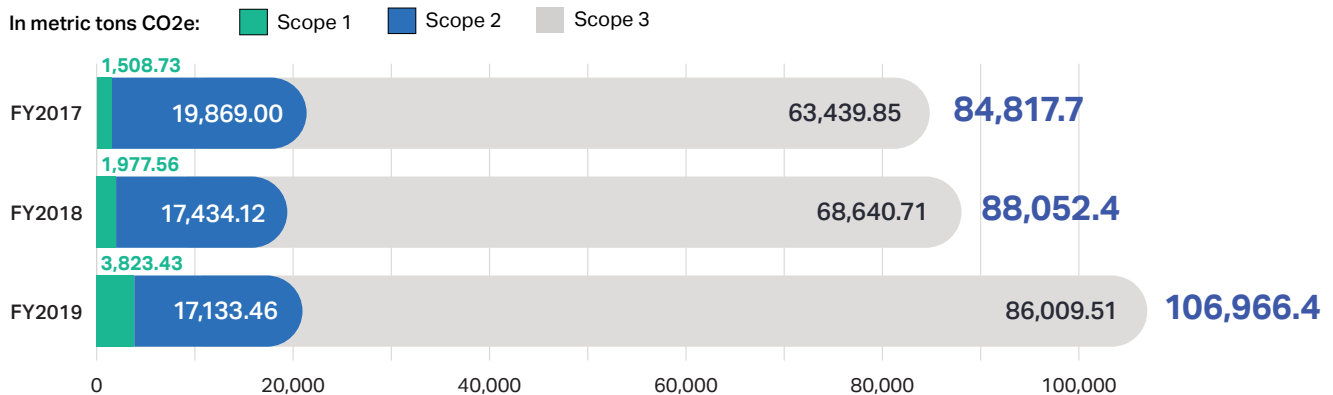
Emissions and energy

We report on climate-related risks and opportunities as part of our annual Carbon Disclosure Project (CDP) submission, and we have informed our reporting with the recommendations of the TCFD.



GHG footprint

Our latest emissions data, reported to CDP in July 2020, was for FY2019 and is summarized below:



Energy use is a significant part of our GHG profile. As we grow our operations and real estate portfolio, energy management is essential to driving down our emissions footprint. We are taking actions to reduce our direct and indirect emissions, including exploration of the following:

- Transitioning to renewable energy sourcing, particularly for our largest sites
- Implementing energy-efficiency measures like LED and motion-sensor lighting, replacing electric kettles, and upgrading HVAC systems
- Minimizing the environmental impact of our buildings through alignment with LEED standards
- Reviewing location-based energy management improvement programs
- Working with key suppliers to determine opportunities to reduce Scope 3 impact
- Continuing to promote flexible and remote work initiatives
- Accelerating the adoption of immersive and collaboration technologies following the COVID-19 pandemic
- Implementing energy re-education initiatives to reduce travel

Managing our operational footprint

Since expanding our site selection process to consider sustainability differentiators, 50 percent of our largest real estate properties have a LEED design or equivalent, more than 50 percent of our locations have easy access to public transportation, and 53 percent of our sites have state-of-the-art building management systems to control resource consumption. In all newer locations, we incorporate healthy building design elements as defined by the International WELL Building Institute.

We have five on-site solar photovoltaic (PV) plants generating renewable energy, leading the way to a more sustainable operational footprint.

Energy generated from solar PV plant	
Month	KWH generated
January, 2020	1,651.37
February, 2020	2,211.12
March, 2020	2,604.00
April, 2020	2,035.81
May, 2020	2,158.73
June, 2020	2,056.74
July, 2020	3,576.18
August, 2020	1,505.56
September, 2020	1,661.58
October, 2020	1,981.39
November, 2020	1,698.80
December, 2020	1,773.05
Total	24,914.33 KWH

Our people are the front line of our sustainability efforts. That’s why we promote waste reduction and energy conservation strategies and provide options for alternate work settings, including work from home. We are increasingly pursuing immersive collaboration and augmented reality technologies, which we expect to provide a sustainable alternative to traditional site visits with customers or suppliers. We encourage sustainable behavior through incentives, such as preferred parking for ridesharing, and have implemented several passive programs, including single-stream recycling, print default protocols to reduce paper consumption, and biodegradable utensils and food-service products.

Total energy consumption (in MWh)			
	FY2019	FY2018	FY2017
Renewable sources	8.825	0	0
Non-renewable sources	84,644.67	54,462.60	64,332.26
Total	84,653.495	54,462.60	64,332.26

Water

Because our water use is principally within our offices, both for ensuring clean drinking water and for sanitary purposes, our materiality assessment concluded that it is not considered a significant aspect of our environmental footprint.



Our products

For more than a decade, our WaveLogic coherent modem solutions have been raising the bar on performance and yielding immense sustainable outcomes. We invested \$2.5 billion between fiscal 2010 and 2019 in innovation that has yielded significant benefits related to the power consumption and space needed to deploy capacity in global networks. During this period, through our continuous technology innovations, we reduced the power/bit consumption for optical transmission by 90 percent. At the same time, we've redefined what networks are capable of, multiplying the capacity that can be carried over the network by up to 80 times.



In 2020, we took steps to quantify these benefits and the resulting emissions that we've enabled network operators to avoid.

Relative impact of WaveLogic technology on the environment:

4,072,112 acres

of forest equivalency



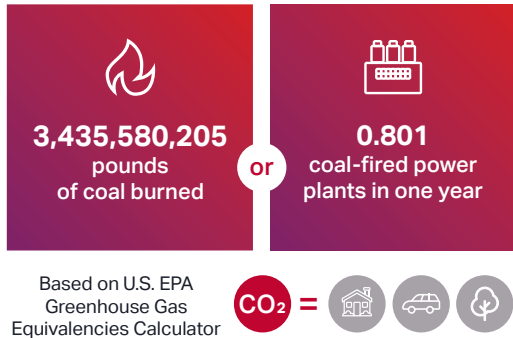
Our energy-efficient products avoided 3 million metric tons of CO2 from being emitted into the atmosphere during the past 10 years.

WaveLogic

During the ten-year period from 2010 through 2019, energy-efficient product innovation related to our first four WaveLogic generations helped network operators avoid more than three million metric tons of CO₂ emissions by deploying our innovative technology. And our WaveLogic 5 Extreme and our WaveLogic 5 Nano will continue to deliver improvements in environmental efficiency, with a further 50+ percent reduction in space and power consumption as compared to the previous generations of technology.

That’s equivalent to emissions from burning 3.5 billion pounds of coal, nearly taking a coal-fired power plant offline for a year. Or, alternatively, the carbon sequestered by more than 4 million acres of forest in a year—roughly the size of the area impacted by the 2020 California wildfires.

Emissions avoided by WaveLogic innovation (2010–2019)



Our innovations in WaveLogic

In 2020, we introduced WaveLogic 5 Extreme (WL5e), the fifth-generation of our industry-leading coherent optical technology. As one example, this technology enables our customer Vodafone to achieve record speeds on a greener network in New Zealand. Vodafone relies on WL5e to support its new 5G service and provide increased bandwidth for data-hungry applications. Our 6500 Packet-Optical Platform allows Vodafone to double the data throughput on its network while reducing energy consumption by 50 percent.

Vodafone New Zealand

“Using Ciena’s WL5e coherent optics between its data centres in Auckland, Vodafone is achieving record transmission speeds to support growing, yet constantly fluctuating, demands for digital services while enabling a greener network.

Vodafone is leveraging its existing Ciena 6500 shelves, doubling the data throughput for each hardware module deployed and reducing energy consumption by 50 percent.”

Tony Baird, Wholesale and Infrastructure Director, Vodafone NZ

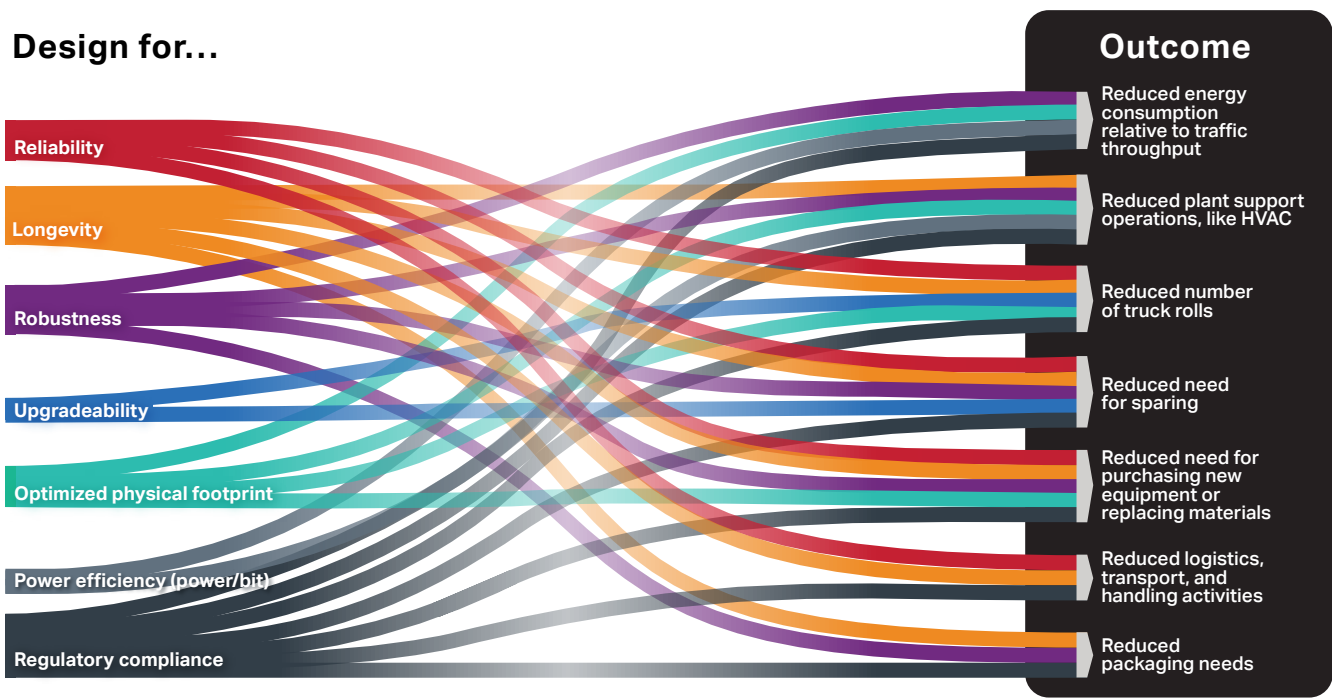
Internet2

Internet2’s deployment will reduce the overall space and power footprint of the current optical add-drop locations by as much as two thirds, contributing to a lower cost and greener network that supports substantially more capacity.

“Together with superior coherent modems and a proven support system, the openness, flexibility, and greener profile of this network will play a key role in our ability to accelerate discoveries in the research and education community.”

Howard Pfeffer, President and CEO, Internet2

In addition to pushing the limits of performance, our engineering teams focus on sustainable design principles intended to prolong the lifespan of our products and to optimize the environmental impact over their lifecycle. Our software, including our Blue Planet® Intelligent Automation Portfolio and Manage, Control and Plan (MCP) domain controller, also eliminate the need for multiple network elements through virtualization, automation, and technology convergence. Our engineering designs optimize power consumption and distribution and system cooling to ensure efficient operation. The result is resilient, sustainably designed networks that operate with lower power and space requirements, and which yield business value for our network operator customers.



Social



Our employees are the heart of our company.

At Ciena, our strategy is rooted in people. Together, we make a difference, are empowered, and feel included to create a culture of belonging, vibrancy, and happiness—for our employees, suppliers, customers, and the communities where we operate. Learning from best practices, ingenuity, and business experience and knowledge, we are working to create an environment where we all feel we can belong.

Together, our passion gives us our competitive edge, and we are committed to making our company a place that inspires pride in our team.

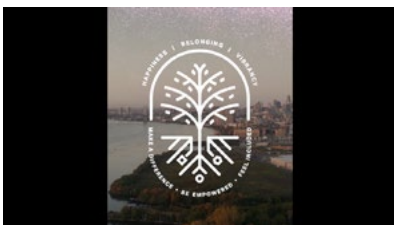
Our people

Approximately 7,000 strong across 35+ countries, our employee base is the key to our success.

Through our People Promise, we strive to create an environment where everyone can continue to develop and grow in their careers. Our workforce strategy is focused on attracting, developing, and engaging a highly qualified and diverse workforce that enables positive experiences for one another, our customers, and our partners.

Our People Promise outcomes are:

- **Making a difference:** Fueling the common desire to make a meaningful contribution, and work for a company that's impacting our world for the better. We operate at the leading edge of innovation and how we conduct our business - giving opportunities for people to get involved in different projects across all our functions. This promise is supported by Tree Nation, Ciena Cares and our commitment to sustainability.
- **Be empowered:** Providing context, trust, opportunities, and resources, so that individuals have the chance to create their own outcomes. This promise is supported by Flexible Working, Learning & Development, Total Rewards, and Performance & Growth.
- **Feel included:** Answering the critical need to feel recognized, valued, and accepted because of – not in spite of – our differences. This promise is supported by Inclusivity & Diversity.



[Watch the People Promise video on CienaLife](#)

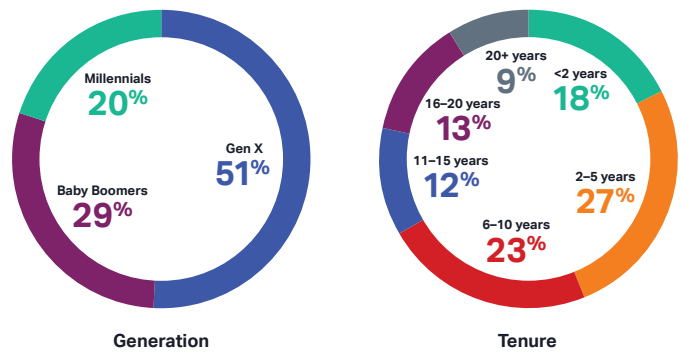
Total number of full-time and part-time employees globally, as of October 2020:

Location	Total number	Percentage
Asia Pacific	2,211	31.8%
Europe Middle East Africa	564	8.1%
Americas	4,186	60.1%
Total	6,961	100%

Age breakdown, as of October 2020:

Age	Total number	Percentage
30 and under	1,438	20.7%
31–50	3,666	52.7%
51 and over	1,857	26.7%
Total	6,961	100%

Employee demographics



Our culture



Our success is rooted in our people. Engaged employees—who feel a sense of belonging and ownership—deliver results, enhancing our performance and our shareholders’ interests. We have a unique, authentic corporate culture that adheres to the following principles of engagement:

- Promote engaging and positive work environments that reflect openness, informality, and professionalism
- Ensure employee understanding of our strategy and goals and their individual contributions to advance them
- Recognize and reward individuals with transparent and competitive rewards strategies

- Support work-life flexibility, inclusion, and total wellbeing
- Communicate with honesty

By following these principles, we thrive within our sector. In 2020, we were proud to rank #2 in our industry on the Fortune World’s Most Admired Companies list, after ranking in the top five since 2017. We’ve also been recognized as a ‘Great Place to Work’ for the last five years in the United States, Canada, and India, where collectively 83 percent of our employees are based.



According to the Fortune Great Place to Work 2019 U.S. National Employee Engagement Survey:

- 85 percent of employees say it is a great place to work
- 89 percent of employees feel colleagues are willing to give extra to get the job done
- 91 percent of employees feel they can take time off when necessary
- 91 percent of employees feel welcome when they join the company
- 92 percent of employees feel they are given sufficient responsibility at work

In addition, our own employee Pulse Surveys enable us to continuously evaluate and improve our employees' experience.

Recognition program

Our reward program, bravo!, facilitates peer-to-peer and financial recognition for both our teams and individuals. In 2020, approximately 9,800 awards were given to employees and more than 60 percent of our team received and/or nominated a colleague for an award. Annually, we also recognize and celebrate individuals and teams who embody our core values with the Spirit of Ciena award.

While bravo! serves as our core recognition platform, we also have a proud history of recognizing our Distinguished Engineers and Ciena Fellows, with both designations being highly prestigious lifetime honors. The program is intended to celebrate and recognize outstanding technical contributors within the company and, over time, build a network of our most valued, esteemed, and influential experts:

- A Ciena Fellow is seen as a recognized technical expert and influencer both within Ciena and the industry
- A Distinguished Engineer's impact is primarily at the Ciena level

Attracting the best

To hire and retain the best talent, we offer competitive compensation, progressive benefits, and wellbeing programs across numerous dimensions. We offer our employees the opportunity to grow in their careers and gain new skills through training and development programs.

Compensation

We strive to ensure that our employees receive competitive, fair, and transparent compensation, with incentives tied to business and individual performance. To promote a sense of ownership, we maintain an employee stock purchase plan and have significantly expanded equity compensation deeper into our organization in recent years, particularly in engineering and other technical functions. Over the past two years, the overall target delivered value of annual equity awards to non-executive employees increased by 33 percent and the number of employees who received annual equity awards increased by over 50 percent.

On at least an annual basis, a study is conducted to assess differences in pay for individuals performing like or similar duties and accountabilities. The intent is to understand whether observed differences are expected on the basis of experience, work location, performance, or qualifications. Unexpected differences are then isolated/reviewed to ensure differences cannot be ascribed to gender or other identifiable bias. The review in 2020 identified a small number of cases, some favoring men and some favoring women, which prompted further study. In a few instances, steps were taken to address the observed pay gap and alleviate the concern. Ciena is committed to regular, ongoing assessment of pay practices to ensure fairness to all of our valued team members.

Employee benefits

We provide our employees with competitive benefits, including medical, dental, vision, life, and disability

insurance; flexible spending accounts; employee stock purchase plans; 401(k) options; and other voluntary benefits such as identity theft protection, legal benefits, auto/homeowners insurance, accident insurance, and more.

Employees who are traveling on business or who need relocation or immigration support are also eligible to receive support.

For employees in North America, in 2018 we migrated from traditional vacation accruals to a fully flexible paid-time-off approach. This allows employees to access to unlimited paid time off with manager's approval. We intend to continue to expand the reach of this program where permissible across our other locations.

We offer 100 percent company-paid health coverage for employees, dependents, and part-timers

Global family leave

We offer global family leave options to support employees throughout various life stages. All full-time and part-time employees who work more than 20 hours a week are eligible for Global Family Leave program.

New mothers receive a minimum of 18 weeks paid time off (inclusive of eight weeks for recovering and ten weeks of bonding). When they return to work, they have an eight-week transition period of part-time work at a full-time salary, which includes additional support and offerings such as a designated colleague to support them in their transition. New fathers are provided ten weeks paid time off. We offer adoptive parents ten weeks paid time off as well as financial assistance of up to \$10,000 (or their local equivalent). Employees who are caring for a spouse, child, or parent with a serious health condition can receive four weeks of paid time off.

Flexible work

For many years, we have offered our office-based employees the flexibility to work from home regularly to accommodate life's many demands and this has been a top value driver for employees. Our flexible work program includes resources for remote work success on topics such as communications tactics, productivity, ergonomics, and safety.

However, the pandemic has emboldened our flexible working arrangements, with nearly all employees having to work remotely. We have supplemented this with additional benefits and services to enable global flexibility. We have been evaluating what the future of work will be post pandemic, and we plan to operate a hybrid working model going forward with our real estate, IT, and people benefits teams providing the required collaboration tools to enable success, whilst enabling sustainability benefits like reduced commuting.

Wellbeing

Acknowledging the connection between individual wellness and job performance, we offer comprehensive resources to help employees and their families improve their physical and mental health, address emotional and family challenges, manage financial wellbeing, and develop stronger social connections with their colleagues. Our focus on supporting our employees' health and wellbeing improves our business performance by reducing lost time, managing health-related expenses, and increasing productivity and engagement.

Our Global Wellbeing program promotes a culture of wellbeing and connection. It consists of numerous tools that employees can access through our wellbeing portal. Key components include:

- Fitness challenges, activity and sleep tracking, and rewards for participation
- Wellness reimbursements

- Toolkits on topics including mental health, meditation, mindfulness, resiliency, working remotely, and more
- 24/7 crisis support
- A mental health check-up tool that includes company-paid mental health coaching
- Company-paid counseling (up to five visits with the option to extend if needed)
- Video trainings on mental health
- Wellbeing chats during which employees can share their own personal stories to help others
- Wellbeing coordinators
- Employee assistance program

To continue to promote the financial wellbeing of our employees, in recent years we implemented retirement plan design changes and a new post-tax retirement savings plan intended to further encourage participation and increased retirement savings. We also increased our employer match for employee contributions to such plans in the U.S. and Canada and have added an ESG fund to our list of portfolio options under our U.S. 401(k) plan. As a result of these changes, more than 99 percent of our eligible employees in the U.S. and approximately 95 percent of our eligible employees in Canada participate in these voluntary retirement plans.

In early 2021, we launched a financial wellbeing platform that includes ongoing education and communication to promote a shared understanding of holistic financial wellbeing and retirement readiness across the full range of our employees' career stages, as well as financial support to engage a personal financial coach or advisor.

Additional pandemic support and benefits

Global Pandemic Leave

Global Pandemic Leave is an additional benefit that is designed to help ease the burden on employees by providing the additional time needed to focus on rest and recovery for those directly affected by a global pandemic event (as declared by the World Health Organization). It is intended as a first resource prior to initiating existing benefits and leave programs including sick leave/disability, carer's leave, PTO, or other statutory leaves to which they may be entitled. All full-time and part-time employees are eligible for this benefit.

If our employees are unable to work as a direct result of themselves or an immediate family member being diagnosed with an illness resulting from a global pandemic event, or as a direct result of them being required to quarantine due to a global pandemic event and their job can only be performed in a Ciena facility, they may be eligible for up to four weeks of paid leave upon approval by their manager. Requests

	Pandemic leave	Medical/ disability leave	Statutory family leave	PTO
Employees diagnosed with an illness due to pandemic outbreak	✓	✓ <small>(after exhausting 4 weeks of pandemic leave)</small>		
Employees with family members diagnosed with an illness due to pandemic outbreak	✓		✓ <small>(after exhausting 4 weeks of pandemic leave)</small>	
Employees in quarantine and nature of role does not accommodate work from home	✓			

for Global Pandemic Leave may be approved by managers in increments of up to two consecutive weeks. If they are still unable to work after exhausting all four weeks of Global Pandemic Leave, they may be eligible for other existing Ciena leave programs depending on their individual circumstances. This includes disability leave, carer's leave, available PTO, and, finally, statutory family or personal leave.

FY21 funding for Working From Home (WFH)

In 2021, we are providing up to \$300 USD for home office set-up **from February 1 until July 31, 2021**, for items such as a monitor, keyboard, mouse, chair, or webcam. **All individuals are eligible**—including those working onsite in one of our major R&D centers supporting critical programs, and individuals who were previously designated as a remote worker prior to COVID-19. New hires will be given direction during the onboarding process.

We recognize May as Mental Health Awareness Month, and celebrate it with our full team across the globe to eliminate stigma and drive awareness. In May 2020, we offered a 20-day self-care challenge in which we encouraged employees to take care of themselves by reducing technology use and identifying calming activities. By participating, employees could enter a raffle, with winners getting the chance to donate to a mental health non-profit of their choice.

Employee assistance program

Through our recognized partners, we offer all full-time and part-time employees and their household members free counseling, resources, and information to help them navigate challenges. The service is completely confidential. In addition to phone consultations and referrals to community resources, online resources include details on:

- Improving family communication
- Maintaining harmony between work and home life

- Managing life changes
- Handling stress
- Surviving the loss of a loved one
- Managing anxiety and depression
- Handling substance abuse
- Reporting bullying and harassment
- Managing workplace issues
- Identifying couples' support
- Navigating parenting challenges
- Caring for an elder
- Receiving support for career counseling, retirement planning, and financial planning

Training and development

We invest in our employees to help them grow in their careers—now and in the future. In turn, our training and development activities support our business by fostering a supportive work environment that drives organizational growth. Within the learning and development field, it is common practice to adopt the 'on the job,' 'mentoring,' and 'formal training' (70/20/10 percentage model) for employee development.

We use Pulse Survey responses to measure how employees view development of skills and professional growth. In 2018, the Pulse Survey outcome scores were:

- "My job enables me to learn and develop new skills" – 7.8 against a benchmark of 7.5
- "I feel that I'm growing professionally" – 7.4 against a benchmark of 7.3

In 2019, the above questions were combined to read "Your job enables you to learn new skills and grow as a person" and the new score was 8.2.

Our investments focus on:

- Supporting new hires and internal transfers through learning curriculums related to their roles
- Fostering a culture of development
- Ensuring all managers consistently deliver on their people-management responsibilities
- Facilitating conversations between managers and individuals to enable our employees to develop personally and professionally
- Building a healthy environment for internal mobility
- Understanding and articulating future and desired skills to all individuals
- Providing opportunities for on-the-job learning and stretch-project assignments in various functional areas of the business
- Delivering details on change through confident and capable leadership
- Reimbursing tuition

We offer numerous programs that help employees—from entry level to senior leadership—to strengthen their current capabilities and gain skills for future roles. Our programs range from formal to informal learning, including virtual and instructor-led courses, peer-to-peer learning, e-learning, micro-learning nudges, coaching, mentoring, and ongoing self-development courses. We leverage our technological expertise to digitize the learning experience and let employees learn at their own pace. Hundreds of online programs allow employees to learn anywhere, anytime.

Mentor Circles

We invest in peer-to-peer learning to strengthen our inclusive culture and increase employee satisfaction and retention. Our Mentor Circles convene five to

eight employees to expand their knowledge and collaboratively foster development. The purpose is to help employees:

- Develop their careers
- Grow as leaders
- Build competence and character to reach personal and professional goals
- Accelerate the development of their capabilities
- Create an environment of greater engagement
- Gain exposure to cross-functional and cross-geographical business issues

Workday Learning

We have invested in our training infrastructure and adopted a new learning management system, which allows us to advance development goals. Through our Workday Learning program, we offer more than 1,300 technical courses and 100 e-learning programs, including:

- Products & Technology
- Personal Professional Development
- Leadership & Management Development
- Corporate Functions & Processes
- Compliance & Integrity
- Sales Enablement & Methodologies



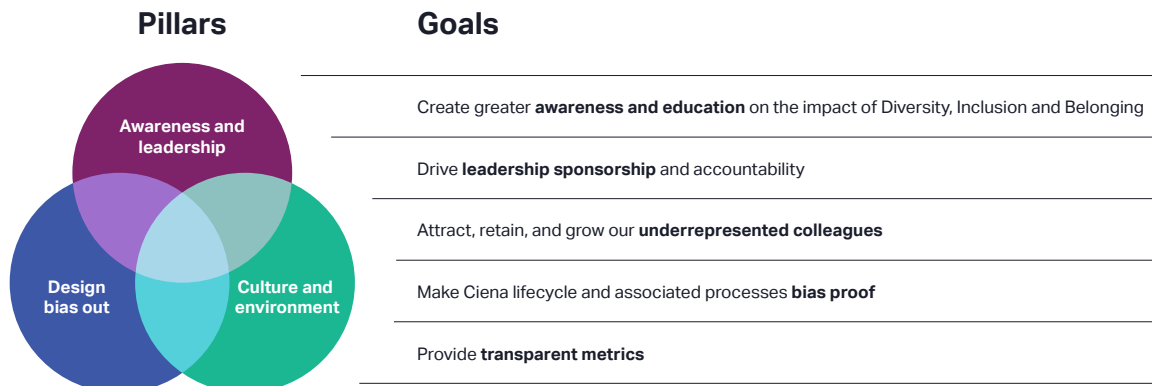
Diversity, Inclusion and Belonging

We are committed to a workplace without discrimination.

Learning from best practices, ingenuity, and business experience and knowledge, we create a working environment where everyone feels they can belong. We strive for inclusion, provide equity, commit to equality, and create diversity together, driving better business outcomes.

We are dedicated to providing an environment in which all employees are recognized, valued, and accepted for who they are regardless of race, nationality, religion, sexual orientation, gender, disability, or age. We are committed to a workplace without discrimination. Our non-discrimination policy is contained within our [Code of Business Conduct and Ethics](#).

Responsibility for coordinating and executing diversity efforts sits with our Senior Director for Diversity, Inclusion and Belonging, who reports to our Chief People Officer. We use internal Pulse Surveys to assess our performance on diversity and inclusion and monitor external benchmarking data to evaluate our actions. We are also delivering Conscious Inclusion workshops across the company in 2021, using an interactive format to maximize the sharing experience and reflect upon the past while making commitments to think and act differently going forward.



2020 Women on Boards Winning 'W' Company

Since 2016, we have been recognized as a 2020 Women on Boards Winning 'W' Company, due to our commitment to maintaining a gender-diverse board of directors and for having 20 percent or more of our board seats held by female directors.

30 percent of our directors are female

Read more in our Governance section on page 31 about board diversity, and learn about our supplier diversity efforts in our sustainable supply chain.

Inclusivity networks

By valuing our differences we become stronger, more competitive, more innovative, and more creative.

We encourage our employees to join our Inclusivity Networks—employee resource groups of passionate people who represent the diversity of our workforce. These groups exemplify our commitment to diversity and inclusion. Bringing people together strengthens the voice of our individuals, educates others on specific requirements, and unleashes the power of diverse thinking to innovate and achieve better outcomes for our employees, our communities, and our business.

Women at Ciena—Aims to break down barriers that exist for women and encourage them to lift their voices in our workforce and communities. The group participates in initiatives such as mentoring, coaching, and development discussions. For example, Women at Ciena hosts an annual event to celebrate International Women’s Day with featured speakers who share their perspective and insight on material subjects.

Black and African Heritage (B&AH) at Ciena—Focuses on increasing the representation, visibility, and contributions of its members. The group hosts broadly accessible programming on racial justice, allyship, and professional development with special activities for Black History Month. B&AH is also working with Historically Black Colleges and Universities (HBCUs) for recruitment, as well as our Learning Team on conscious inclusion training, mentorship, and leadership development programs to build the pipeline of Black leaders. In 2020, B&AH leveraged the Ciena Cares program to sponsor volunteers supporting voting rights, and in 2021 is focused on training and upskilling opportunities to underserved communities where there is a digital gap.

CienaNext!—Drives engagement, development, and connection for our early-in-career employees who are just starting off their professional journey. The group focuses on networking to build cross-functional collaboration both inside and outside the company, and innovation to promote change as well as learning and development. This group of active, passionate employees can also leverage mentorship opportunities and resources focused on learning and development for employees currently in school, recent graduates, and those exploring their professional development.

Pride at Ciena—Supports lesbian, gay, bisexual, transgender, and questioning (LGBTQ) individuals, as well as employees who have family, friends, or colleagues who identify as LGBTQ. The group also aims to gather allies—those who are not necessarily from the community, but support and advocate for LGBTQ people. We want our company to be a safe place—where everyone feels comfortable expressing their views and ideas—for all individuals and their families, regardless of their sexual orientation or gender identity.

Community engagement



The success of our business is intertwined with the wellbeing of our communities. We invest our resources, and our employees invest their time, to positively impact the communities where we live and work.

We support initiatives and programs that make a difference through our global community engagement program, Ciena Cares. Our community engagement efforts are based on:

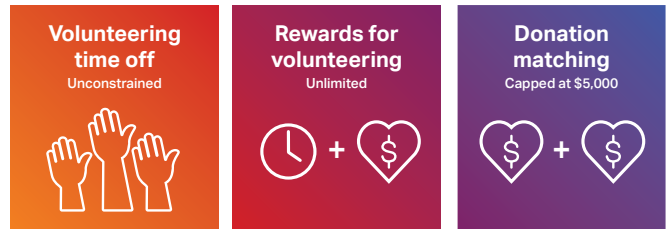
- Being authentic and aligned to our core competencies
- Engaging and energizing employees
- Deepening our business partner relationships
- Promoting our culture internally and externally



Ciena Cares is an important element of our social responsibility program, designed to support individuals' passions for giving back to the community. Employees can use the Ciena Cares

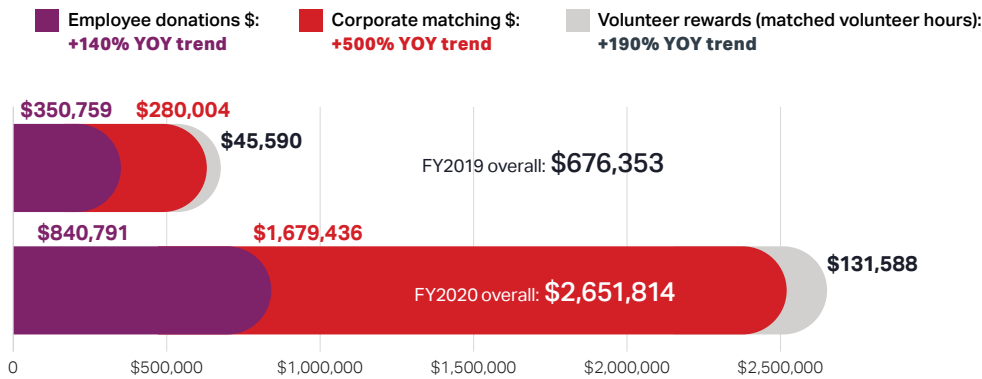
platform to make charitable donations or volunteer, and have these contributions matched by the company and time rewarded.

Thirty Ciena Cares Champions around the world drive our community programs with their local colleagues, including managing specific fundraising and non-profit engagements, creating a network of good around the world.



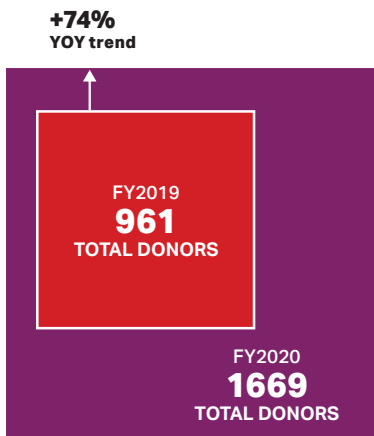
Our Ciena Cares giving platform is powered by Benevity and the results captured below speak for themselves. As our program matures, we've seen a dramatic increase in the use of benefits associated with the program, which can be attributed to the new, more intuitive online platform.

Total matched giving

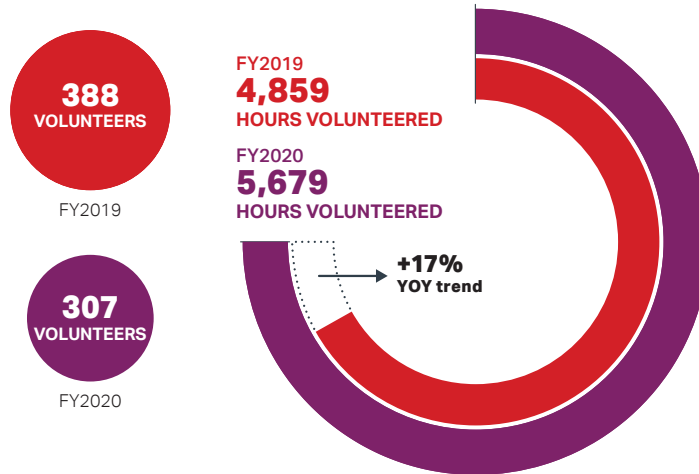


In 2020, we added an extra \$1 million to our matching budget and introduced a new triple-match and triple-rewards program for donations and volunteering respectively. Our goal was to offer additional support to charities struggling with significant losses of income due to COVID-19.

Total donors



Ciena volunteers



In 2020, the number of volunteers likely decreased due to COVID-19. We introduced virtual volunteering to offer an alternative to face-to-face volunteering.

Highlights of our community support

Team members across 36 countries in the Americas supported the U.N. sustainable development goals of Zero Hunger, No Poverty, Quality Education, Good Health and Wellbeing, Climate Action, Life on Land, and Clean Water and Sanitation in a 'Go Do Good' volunteer challenge. [View the Americas Volunteer Celebration video here.](#)

Other examples include donations to the United Mission for Relief & Development in Lebanon, and a program with NASSCOM Foundation in India to reskill students in new technologies at Netaji Subhas Institute of Technology and Delhi Technical University.

Visit [CienaLife](#) for additional examples of our community engagement.

Culture of service goal

Building on the terrific participation supporting our communities during fiscal 2020, we set our first service-oriented goal that is expressly tied to our corporate incentive bonus plan. We are stepping up our ambitions to give back in 2021, with a corporate bonus goal for our employees to dedicate an aggregate 20,000 hours of their time volunteering in their communities. This is another great example of our People Promise and we hope to make opportunities for meaningful service an increased part of our corporate culture. We believe that through shared service we can increase connectivity with our teams and communities as well as provide an enriching personal experience.

Digital Inclusion

People are at the heart of our business. From our world-class employees to our long-term customer and partner relationships, and even in the way we relentlessly pursue network innovation, we are dedicated to enabling greater connectivity so we can help improve the experiences and lives of people

around the world. We know that greater digital connection can expand access to more opportunities for more people—especially for students and those who have historically been underserved. This will create exponential benefits, leading to a more inclusive economy and equitable world for us all.

This is why we launched our Digital Inclusion program E³ in May 2020, committing \$10 million over the next five years to Enable greater connectivity, Expand opportunities for 100,000 underserved students, and drive Exponential social impact in the communities where we live and work.



By mobilizing our people, our innovation leadership, and our partners through programs that foster digital access, technology, and skills, we can help underserved students gain access to the opportunities they need to thrive.

And, just like our company, we designed this commitment with people and relationships at the core. Our commitment aims to engage and mobilize our workforce, leverage our innovation leadership, and collaborate with our customers, suppliers, and other partners to bridge the digital divide through innovation solutions and infrastructure. Elements of this program will include:

- Direct charitable giving by Ciena to organizations aligned to our beliefs
- Work with established non-profits, foundations, and coalitions to promote digital inclusion and drive outcome-oriented programming
- Community and volunteer activities involving our employees or business partners
- In-kind contributions of Ciena solutions or other computing or access devices

- Support, or seeking the support, of customers and suppliers with similar initiatives that promote these goals
- Internships/cooperative programs for students in these communities

Below is a summary of some of our Digital Inclusion initiatives:

Ciena Solutions Challenge

This is an exciting initiative in partnership with [Digital Promise](#) to build an open-source challenge library containing carefully constructed challenge-based learning experiences that engage young people in solving a local problem while developing design thinking, computational thinking, and critical thinking skills. The challenges align with the 17 U.N. Sustainable Development Goals, encouraging students to address local issues of global importance. The challenge library, piloted in two public schools, will be freely accessible on the web for any school in the world to use. The schools will receive a grant to support the purchase of necessary tools and technology to support student invention and computational thinking, such as micro-controllers, robotics kits, and digital tools.

We will also launch an online platform for teachers to connect and learn throughout their design challenge journey, offering virtual webinars, professional learning experiences, and a community of educators curated and facilitated by Digital Promise.

To energize student participants, we will host the Ciena Challenge Competition, a Ciena-judged event that sparks the creativity and friendly competitive spirit of participating schools—providing awards and recognition that supports the schools' implementation of their solutions. Our employees will participate as mentors, coaches, or developers of their own challenges for inclusion in the challenge library.

[Verizon Innovative Learning](#)

We partnered with Verizon on their [Innovative Learning Schools](#) initiative to bridge the digital divide in Title I schools across the United States. With our financial support, Verizon was able to expand its program to two new schools in San Jose, California, and Baltimore, Maryland in 2020. We also provided students at these schools connected tablets and accessories to facilitate their continuous learning despite the challenges of COVID-19. The partnership gives Ciena employees the opportunity to volunteer with the schools.

[Bharti Foundation](#)

To equip under-resourced children with the necessary skills for the future, we have partnered with Bharti Foundation, the philanthropic arm of Bharti Enterprises, on two new programs in Punjab and Haryana, India.

- **Digital Classrooms:** For young students in rural communities to gain greater exposure to digital learning, the inaugural Digital Classrooms project will use educational technology and devices provided by us to support teaching sessions at 10 primary and elementary Satya Bharti schools in Punjab and Haryana. This arrangement will help to ensure classrooms have the latest technology available so that students can build computer skills and be exposed to more immersive learning opportunities.
- **Advanced Technology Labs:** To give students a hands-on experience with robotics and gaming at two Satya Bharti Adarsh Senior Secondary Schools in Punjab, we will provide 3D-modeling kits and printers, laptops, and resources to hire trainers. This will give students preparing for college, or others looking to move directly into a career in technology, the ability to develop analytical, problem-solving, and decision-making skills while exercising creativity and teamwork.

Environment, Health, and Safety



We are committed to operating in an environmentally responsible manner and protecting the health and safety of our employees. We seek to make our employees aware of Environmental, Health, and Safety (EHS) issues relevant to them, our customers, and the communities in which we operate. Our EHS program complies with internationally recognized standards and we draw on our innovative thinking to develop tools that protect our employees' safety.

Our EHS management

We take an integrated management approach to our EHS program that involves all levels of the company. Overseen by our Corporate Compliance Committee made up of executive leadership, our [EHS Policy](#) outlines the EHS principles that apply to all employees and operations. We also have regional EHS committees for North America; Latin America and the Caribbean; Asia Pacific; and Europe, the Middle East, and Africa. The committees comprise representatives from key functional areas and are responsible for formulating regional EHS objectives, tracking project impact, assessing compliance against local laws and regulations, and identifying any necessary corrective or preventive actions.

Audits and certification

One way we live up to our EHS principle of being responsible is by proactively developing, and continually reviewing and updating, policies and procedures to ensure we are operating in a safe and environmentally conscientious manner.

All key facilities and businesses areas undergo a year-round, risk-based internal audit process that assesses both safety and environmental risks. We also utilize external audits and comply with third-party standards. In addition to our Quality Management (TL9000), Business Continuity (ISO 22301), and Environmental Management (ISO 14001) ISO Management System Standards certifications, we recently migrated from an OHSAS 18001 system to the ISO 45001 Health and Safety system.

Taking an integrated approach to EHS means we attain compliance across our organization, which enables us to remain at the forefront of the industry when it comes to our EHS program.

Employee safety

Our employees' safety is paramount. Our goal is to maintain the current industry standard accident and injury rate of less than 0.2 per hour worked. In 2020, our total recordable injury rate in the United States was 0.06 per hour worked, with only one reportable accident in 2020.

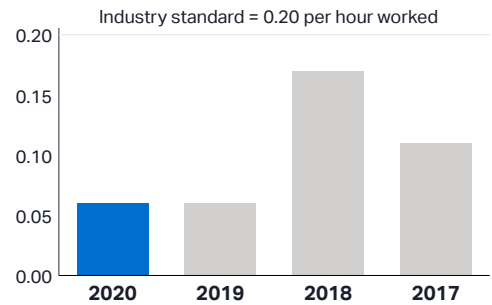
Innovation is at the heart of our business. We look for ways to combine our innovative thinking and our commitment to putting employee safety first. Our emergency alert tool contacts employees during a disaster or incident to check on their status. From there, we can quickly assess where help is needed and respond with the necessary support.

During times of business as usual, safety training is a critical part of keeping our employees safe and our injury rate low. Training is an ongoing process and employees go through mandatory safety training tailored to their position upon hire, and through refresher campaigns throughout the year.

The environment

In addition to safeguarding our employees, we are conscious of our impact on the environment. Our [EHS Policy](#) codifies our commitment to pollution prevention and conserving energy and other resources. See the Environment section on page 10 for more information about our environmental efforts.

Total Recordable Injury Rate (TRIR)





Governance

Our commitment to maintaining a strong level of corporate governance and the highest ethical standards is embedded in all we do. It is the foundation for trust in our company and essential to our long-term success. Our governance consists of policies and procedures that promote independent voices on our Board of Directors and a culture of integrity among our leadership and employees.

Our corporate governance

Strong governance starts with an independent, diverse Board of Directors that is deeply involved in overseeing our strategy and risk management. In 2019, our Board of Directors updated our [Principles of Corporate Governance](#) and [Code of Ethics for Directors](#), and it annually reviews and updates its standing committee charters. These documents guide Board composition, procedures, responsibilities, and evidence a commitment to acting in the best interest of our shareholders. The Board reviews [governance policies](#) periodically and amends them as necessary to achieve our objectives.

Regular outreach and conversations with our stockholders are a core component of strong corporate governance here. These engagements generate feedback about our stockholders' perception and understanding of our markets, business, and industry. They also influence our communications, including how we publish key elements of our corporate strategy and long-term goals and articulate our capital allocation priorities.

Board leadership structure

We have separate Executive Chairman and CEO positions. The Board of Directors comprises ten members, including eight independent directors, and it regularly meets without management present to further its independence. All standing Board committees are formed solely by independent directors. While updating our Principles of Corporate Governance in 2020, we implemented a new,

stricter limit on the number of other public company boards on which our employee and non-employee directors can serve. Through our commitment to Board refreshment and diversity, we also reduced the average tenure of non-employee directors from 12.1 to 9.7 years from end of fiscal 2016 to end of fiscal 2020.

We have appointed a new independent director every year since 2017

The 'proxy access' provision in our bylaws allows eligible shareholders to nominate director candidates for inclusion in our proxy statement and proxy card. The Board believes this provision reflects a balanced approach to proxy access that provides a meaningful proxy access right, mitigates the risk of abuse, and protects the interests of all of our shareholders. In the case of an uncontested election, our bylaws and Principles of Corporate Governance require that each director be elected by a majority of the votes cast by holders of shares present in person or represented by proxy at the Annual Meeting.

See our [2020 Proxy Statement](#) to read more about our Board composition and structure.

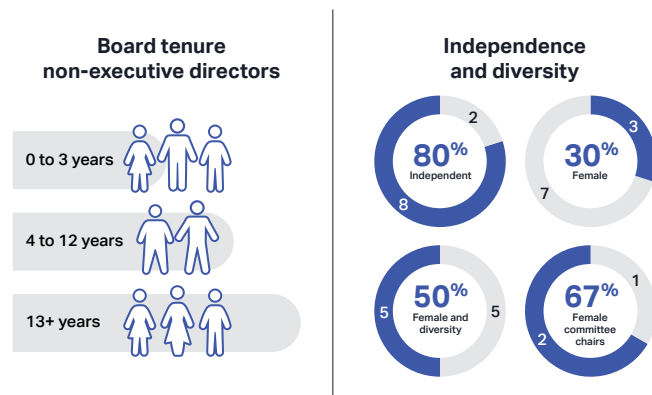
Stock Ownership Guidelines

Our [Stock Ownership Guidelines](#) are designed to align our Board of Directors' and executive officers' interests with those of our shareholders, and to promote our commitment to sound corporate governance. In 2018, we substantially increased the minimum ownership requirements for directors and

officers, including 5x base salary for the CEO and 5x cash retainer for non-employee directors. We added a holding requirement for our executives until the relevant minimum ownership level is achieved.

Board diversity

Diverse backgrounds, perspectives, and relationships improve Board decision making and effectiveness. As stated in our Principles of Corporate Governance, our directors should have complementary and diverse skill sets, experiences, and backgrounds, including diversity with respect to gender, ethnicity, race, nationality, and age. The Governance and Nominations Committee annually reviews our Board composition, diversity, structure, and other characteristics of Board effectiveness and reports its findings to the Board.



Oversight of strategy and people management

The Board and its committees have oversight responsibility for our long-term strategic plan and annual operating plan, and our Governance and Nominations Committee oversees our approach to managing ESG matters. Recognizing that employee engagement, development, and retention are critical elements of our strategy and success, the Board annually reviews our People Strategy and people management practices, including compensation and benefits, employee wellbeing initiatives, training

and development, diversity and inclusion, employee engagement, and corporate culture. Read more in Our Culture on page 17, and in Diversity, Inclusion and Belonging on page 21.

Risk management

Risk management is an important part of establishing, updating, and executing our business strategy. The Board annually reviews our enterprise risk management program, and each of its standing committees oversees the management of risks under its purview. Members of our senior management team are responsible for providing regular reports on strategic, operational, financial, legal, compliance, and regulatory risks as well as on cyber- and information security. Read more about our [Board committee charters](#) and our [2020 Proxy Statement](#) to learn about our Board oversight of risk and each committee’s responsibilities.

We are taking extensive measures to ensure the safety and wellbeing of our employees, customers, and partners around the world during the COVID-19 pandemic. Throughout 2020, our Board of Directors has actively overseen this response and our management of the unpredictable challenges brought by this global crisis. Our directors regularly receive updates about our employees’ health and wellbeing, community and charitable initiatives, operations and business continuity, and financial position. Read more about how we are supporting our employees and communities in COVID-19 Response on page 8.

The three committees of our Board of Directors include:

Compensation Committee—Has authority and oversight relating to the development of Ciena’s overall compensation strategy and compensation programs. The committee engages with the following responsibilities, among others:

- Establishes our compensation philosophy and policies
- Oversees compensation plans for our executive officers and non-executive employees
- Has oversight responsibility for the compensation program for Ciena’s non-employee directors
- Receives information and advice from its compensation consultant, as described below
- Reviews and has final authority to approve and make decisions with respect to the compensation of our executive officers

Governance and Nominations Committee—

Reviews, develops, and makes recommendations regarding various governance matters related to the Board of Directors, including its size, composition, standing committees, and practices. The committee engages with the following responsibilities, among others:

- Reviews and implements corporate governance policies, practices, and procedures
- Conducts an annual review of the performance and effectiveness of the Board of Directors, its standing committees, and its individual members
- Makes recommendations to the Board of Directors regarding the composition and independence of its non-employee members
- Provides oversight and direction for our Compliance and Ethics program and sustainability practices

Audit Committee—Appoints and establishes the compensation for Ciena’s independent registered public accounting firm. The committee engages with the following responsibilities, among others:

- Approves in advance all engagements with Ciena’s independent registered public accounting firm to perform audit and non-audit services
- Reviews and approves the procedures used by Ciena to prepare its periodic reports
- Reviews and approves Ciena’s critical accounting policies and matters
- Discusses audit plans and reviews results of audit engagements with Ciena’s independent registered public accounting firm
- Obtains and reviews a report of Ciena’s independent registered public accounting firm describing certain matters required by the NYSE listing standards
- Reviews the independence of Ciena’s independent registered public accounting firm
- Oversees Ciena’s internal audit function and Ciena’s accounting processes, including the adequacy of its internal controls over financial reporting
- Where it determines to do so, makes recommendations to the Board of Directors with respect to rotation of the lead partner of the independent registered public accounting firm
- Reviews and considers any related person transactions in accordance with our Policy on Related Person Transactions and applicable NYSE rules

Our organizational approach to sustainability

Sustainability is a fundamental part of our strategy and key to achieving our longer-term financial targets. Our Board of Directors oversees our corporate strategy and approach to ESG initiatives, including ongoing efforts to keep us in lockstep with progressive industry trends and standards.

Our [policy](#) and practices are designed to help us operate as a supplier, employer, and neighbor of choice around the globe. The policy applies to all employees, officers, directors, consultants, and agents of Ciena, its subsidiaries, and all company operations. It sets an expectation for our employees to:

- **Be engaged**—Be aware of our sustainability commitments and obligations to ensure that our interactions with employees, customers, suppliers, stakeholders, and the communities in which we operate are consistent with this policy.
- **Be responsible**—Behave in a manner consistent with our commitment to sustainability by striving to minimize environmental impact of our facilities and maximize the wellbeing of our employees, customers, suppliers, stakeholders, and the communities in which we operate.
- **Be proactive**—Actively look for ways to implement this policy in all of our operations and strive for continual improvement.

In 2019, we reached out to our top 30 stockholders—representing approximately 54 percent of our shares—to inform them of our recent progress on environmental sustainability, social responsibility and community engagement, and corporate governance. Members of our executive leadership team personally met with stockholders representing more than 25 percent of our outstanding shares, including our three largest stockholders. These engagements allowed

us to better understand investors' ESG priorities and ensure alignment of our strategy and their expectations.

Compliance and Ethics

Leadership promotes a culture of integrity

Integrity is one of our core values and it provides a strong moral and ethical foundation for all that we do. Our leadership team and Board of Directors believe that good corporate governance and the highest ethical standards are essential to our long-term success. Our Senior Vice President and General Counsel also serves as our Chief Compliance Officer and provides the Board with regular reports on our Compliance and Ethics program.

We maintain a Corporate Compliance Committee composed of members of the global executive leadership team and other senior leaders within the company. The Committee promotes integrity and compliance leadership throughout the organization and provides strategic guidance, oversight, and support of our Compliance and Ethics program. To build on our existing practices, during 2020 we created and resourced a new, dedicated function focused exclusively on Compliance and Ethics, which will bring an additional level of focus and expertise to this area.

Compliance and Ethics program

Our Corporate Compliance and Ethics program is dynamic and continually improving to ensure alignment with emerging areas of risk for our business, government and legal requirements, and lessons learned in our own business operations. Our executive leadership plays an active role in setting the right tone at the top, and we have focused in recent years on management-development programming to ensure we have the right 'tone at the middle' as well. Executives and managers have a responsibility for making sure that we all live up to our

core values and promote a workplace that fosters a 'do the right thing' mentality.

We measure the impact of our program through employee surveys such as our anonymous Culture of Integrity survey. Through tools like this, we gain a better understanding of employee perceptions of important topics, including:

- Tone at the top
- Comfort speaking up
- Ethical expectation-setting by leadership
- Openness of communication
- Managing with integrity
- Organizational justice

We use this data in assessing the effectiveness of our program and informing its continuous improvement.

We have also adopted many policies and procedures and established related training intended to promote awareness and set expectations for ethical and responsible conduct among our [workforce](#).

Code of Business Conduct and Ethics

Our Code of Business Conduct and Ethics is an extension of our core values. It establishes the standards of conduct that we expect from one another and owe to our customers, business partners, and stockholders. Signed by our President and CEO, the Code serves as a guide for conducting business ethically and making decisions that align with our core values. Our Code is available in nine languages to ensure its broad accessibility across our workforce. Every employee, officer, and member of the Board of Directors is responsible for upholding our [Code of Business Conduct and Ethics](#).

We strive to create innovative and engaging compliance initiatives, including training and awareness materials, that bring our Code to life and resonate with our workforce. For example, in recent

years we have utilized a 'gamification' approach to our annual code of conduct test and affirmation, achieving a global workforce completion rate over 99 percent in fiscal 2020. And, among other things, we previously engaged a prominent outside compliance speaker to discuss the real-world consequences of improper payments at our global sales and marketing conference.

Business partners and improper payments

Honesty, a strong commitment to ethical behavior, and compliance with applicable law are the keys to successful business dealings. Accordingly, we expect our suppliers, service providers, and other business partners to adhere to the same high standards that we do. In 2019, we implemented our [Code of Conduct for Business Partners](#) and a related training course for parties that support our sales efforts—including managed service providers, value-added resellers, systems integrators, distributors, influencers, service partners, and technology alliance partners. This document, along with our [Supplier Guidelines](#), sets forth our expectations for ethical behavior, including a zero-tolerance policy for any and all forms of bribery, corruption, and other improper payments to gain a commercial advantage.

In addition to our outward-facing Code of Conduct for Business Partners and our Supplier Guidelines, we deploy numerous tools internally to support a culture of integrity. We emphasize the accessibility of our policies, including the translation of certain key anticorruption policies in multiple languages. In recent years, we have also introduced a number of advancements to our third-party risk management practices, and we periodically reassess these for continuous improvement.

Reporting concerns without fear of retaliation

We consider open and honest communication to be a vital part of a positive work environment and our authentic culture. We maintain a number of easily accessible internal and external methods by which our employees, business partners, and investors can report concerns relating to the ethical operation of our business, including anonymously where permitted. We are committed to maintaining a workplace in which employees can report concerns without fear of retaliation, and we have implemented communications initiatives to our managers—and also broadly across our global workforce—that reinforce this. We take reported concerns about unethical and illegal conduct seriously and conduct prompt and thorough investigations.

Sustainable supply chain



We view a responsible supply chain as an extension of its own responsible business practices. We believe business must be conducted in a socially responsible and ethical manner. We are committed to the [RBA Code of Conduct](#) and we hold our suppliers accountable to these same standards.

Our suppliers must adhere to certain standards and laws applicable in the countries in which they operate. We also work with suppliers to advance their sustainability efforts and environmental management, beyond the minimum legal requirements.

Supplier performance monitoring

We understand that our sustainability performance is viewed by stakeholders as the combination of practices and actions by us and our outsourced supply chain.

Our Corporate Social Responsibility (CSR) supplier engagement framework comprises the following elements:

Expectations setting	Risk evaluation	Development	Monitoring
<ul style="list-style-type: none"> RBA Code of Conduct compliance expectation Contractually defined 	<ul style="list-style-type: none"> Key suppliers CSR maturity assessment by EcoVadis 	<ul style="list-style-type: none"> Assessment improvement focus and corrective action follow-up Transparency encouragement through public CSR reporting and CDP participation Sustainability reviews to explore potential improvement projects 	<ul style="list-style-type: none"> Review of publicly available supplier information against expectations Re-assessment/audit

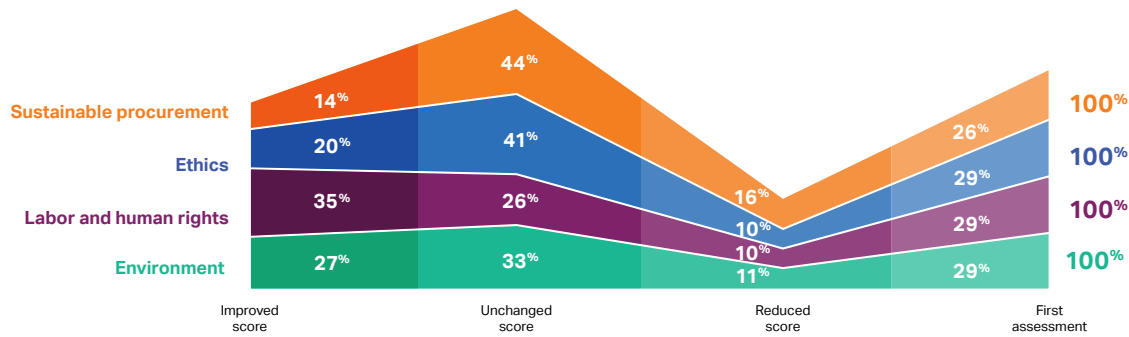
All of our employees and management, who have direct responsibility for supplier engagement and selection, receive training on human trafficking and slavery, particularly with respect to mitigating risks within the supply chain.

Supplier sustainability assessment results

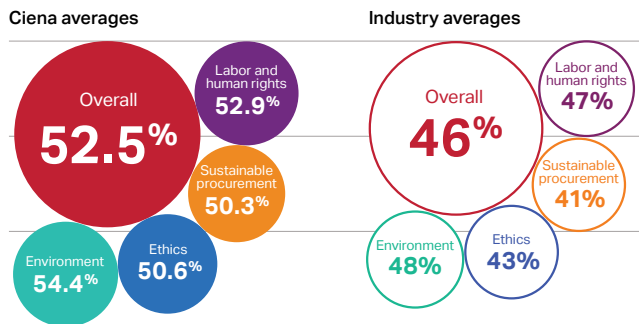
We focus our supplier assessment process on our key suppliers, which represent more than 85 percent of our supplier spend annually. To increase transparency and accountability, we engaged EcoVadis, an independent sustainability ratings company, to assess our suppliers’ sustainable business practices. We rely on this assessment protocol to identify strengths, determine what areas need to be addressed, and inform our sustainable supply chain strategy moving forward. The EcoVadis assessment results and trends are summarized below.

Supplier assessment trends

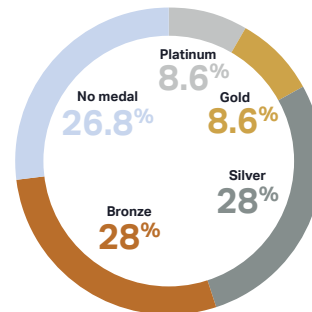
This image highlights the four different categories we assess our suppliers on and how our suppliers’ scores in each category changed YOY.



Supplier assessment industry standards



Supplier scorecard maturity gradings



Human rights

Respect for human rights is essential. Because we have an outsourced supply chain, we work hard to clearly communicate our expectations for human rights protections.

We operate in full compliance with the [International Labour Organization's workplace standards](#) as well as any country-specific standards where we have operations. By confirming their compliance to the U.N. principles, our suppliers affirm their commitment to internationally recognized human rights standards. This includes the elimination of forced labor, child labor, and discrimination in the workplace, as well as upholding freedom of association. We also mandate training for our supply chain employees on how to eliminate forced labor, modern slavery, and human trafficking from the global supply chain. A copy of our most recent modern slavery statement can be found [here](#).

Conflict minerals

Just as we are committed to sourcing our materials in an ethical and environmentally responsible manner, we expect our suppliers to have the same commitment. Although we do not directly purchase Tantalum, Tin, Tungsten, and Gold (3TG), we work with suppliers to ensure they are not procuring 3TG from sources that directly or indirectly support armed groups in the Democratic Republic of Congo or adjoining countries.

Our due diligence to ensure sustainably and ethically sourced minerals includes our company policy (CO2-PUR-24) on conflict minerals, detailed conflict minerals risk analyses across our supply chain, and a grievance mechanism to voice and record concerns regarding conflict minerals. Our Supplier Guidelines require direct suppliers to source from smelters validated as compliant to a Conflict-Free Smelter protocol using the CFS Compliant Smelter List, and we request that suppliers submit sourcing information via the RBA

and Global e-Sustainability Initiative's questionnaire. We endorse the Responsible Minerals Initiative and require our suppliers to provide a copy of the Global e-Sustainability Initiative Conflict Minerals Declaration. Suppliers also agree to cooperate with us to verify the information provided in the Conflict Minerals Declaration and take corrective action as needed.

[Learn more about our Conflict Minerals Report.](#)

Supplier diversity

Diversity in all forms drives innovation and creativity—key ingredients for our competitive, next-generation solutions. Having a supply chain that reflects the diversity of the communities in which we live and work is not only the right thing to do, but also good business. Our network of partners and suppliers is critical to our long-term success, and having a diverse supply chain improves our customer experience.

In FY2019, our total spend with diverse suppliers was more than \$39 million. We proactively seek to recruit diverse businesses in the following categories:

- Small, disadvantaged businesses
- Women-owned small businesses
- Veteran-owned small businesses
- Service-disabled veteran-owned small businesses
- Businesses in Historically Underutilized Business Zones
- Minority business enterprises

Since our last report, Ciena increased its spend on diverse suppliers by **64%**

Minority-owned business enterprise
\$16,142,037



Self-certified small disadvantaged business
\$6,265,551



Service-disabled veteran-owned business enterprise
\$461,888



Lesbian, gay, bisexual, transgender
\$210,861



Small business enterprise
\$21,998,889



Veteran-owned business enterprise
\$294,110



Women-owned business enterprise
\$3,958,822



As more diverse businesses emerge to provide products and services that fit our needs, we expect the funds spent on diverse suppliers to increase.

Sustainability reporting

We are committed to biennial reporting on ESG topics. We published our initial CSR report in 2018, and have included new ESG disclosures on our website in our [Form 10-K](#) and in our [2020 Proxy Statement](#) to help our stakeholders understand our areas of focus and achievement.

See our Global Reporting Initiative (GRI) content index, Sustainability Accounting Standards Board (SASB) disclosure, and Task Force on Climate-related Financial Disclosures (TCFD).

Global Reporting Initiative (GRI)		
Standard Disclosure	Disclosure Title	Location
GRI 102-1	Name of the organization	See our 10-K Form (part 1).
GRI 102-2	Activities, brands, products and services	See our 10-K Form (part 1).
GRI 102-3	Location of headquarters	See our 10-K Form (part 1).
GRI 102-4	Location of operations	See our 10-K Form (part 1).
GRI 102-5	Ownership and legal form	See our 10-K Form (part 1).
GRI 102-6	Markets served	See our 10-K Form (part 1).
GRI 102-7	Scale of the organization	See our 10-K Form (part 1).
GRI 102-8	Information on employees and other workers	See Our People section of the Sustainability Report
GRI 102-9	Supply chain	See Our 2020 Corporate Annual Report (pgs. 16-17)
GRI 102-10	Significant changes to the organization and its supply chain	See our 2020 Corporate Annual Report (pgs. 3-7)
GRI 102-11	Precautionary Principle or approach	Ciena's Environment, Health and Safety Policy asserts our commitment to preventing environment, health and safety incidents by integrating environment, health and safety considerations into business processes, and encouraging suppliers to do the same.
GRI 102-12	External initiatives	Ciena has adopted the principles set out in the Responsible Business Alliance ("RBA") Code of Conduct. The RBA Code of Conduct establishes standards to ensure working conditions in the electronics industry supply chain are safe, that workers are treated with respect
GRI 102-13	Memberships of associations	Responsible Business Alliance, Responsible Minerals Initiative, and Telecommunications Industry Association
GRI 201-1	Direct economic value generated and distributed	See our 2020 Corporate Annual Report (pgs. 142-155)
Strategy		
GRI 102-14	Statement from senior decision-maker	See the Letter from our CEO within the sustainability report.
GRI 102-15	Key impacts, risks and opportunities	See the Letter from our CEO within the sustainability report.

Global Reporting Initiative (GRI)		
Standard Disclosure	Disclosure Title	Location
Ethics and Integrity		
GRI 102-16	Values, principles, standards and norms of behavior	See our Code of Business Conduct and Ethics, Governance Documents, Policies and Reports
Governance		
GRI 102-18	Governance structure	Proxy Statement (pgs. 22-26)
Stakeholder Engagement		
GRI 102-40	List of stakeholder groups	Materiality Assessment Section of the sustainability report
GRI 102-42	Identifying and selecting stakeholders	Materiality Assessment Section of the sustainability report
GRI 102-43	Approach to stakeholder engagement	Materiality Assessment Section of the sustainability report
GRI 102-44	Key topics and concerns raised	Materiality Assessment Section of the sustainability report
Ciena Material Topic: Sustainability Reporting		
Reporting Practice		
GRI 102-45	Entities included in the consolidated financial statements	Ciena publishes an annual 10-K and quarterly financial reports, which cover all company-owned or -controlled operations. See our 10-K Form for more information.
GRI 102-46	Defining report content and topic Boundaries	Materiality Assessment Section of the sustainability report
GRI 102-47	List material topics	Materiality Assessment Section of the sustainability report
GRI 102-48	Restatement of information	Relevant restatements are included in respective Issue Briefs. See the Issue Briefs listed on our Reporting Library web page for more information.
GRI 102-49	Changes in reporting	No changes since last report
GRI 102-50	Reporting period	Bi-Annual (cover 2019 and 2020)
GRI 102-51	Date of most recent report	June 2021
GRI 102-52	Reporting cycle	Bi-Annual
GRI 102-53	Contact point for questions regarding the report or its contents	Mark Stevens - Director of Corporate Social Responsibility at Ciena masteven@ciena.com
GRI 102-54	Claims of reporting in accordance with the GRI standards	This GRI index, our 2019/2020 Sustainability Report web page have been prepared in accordance with the GRI Standards: Core option.
GRI 102-56	External assurance	No external assurance
Ciena Material Topic: Energy & Emissions		
GRI 302: Energy		
GRI 103-1	Explanation of the material topic and its Boundaries	See CDP Submission

Global Reporting Initiative (GRI)		
Standard Disclosure	Disclosure Title	Location
GRI 103-2	The management approach and its components	See CDP Submission
GRI 103-3	Evaluation of the management approach	See CDP Submission
GRI 302-1	Energy consumption within the organization	See CDP Submission
GRI 302-3	Energy intensity	See CDP Submission
GRI 302-4	Reduction of energy consumption	See CDP Submission
GRI 305: Emissions		
GRI 305-1	Direct (Scope 1) GHG emissions	Emissions and Energy section of the sustainability report
GRI 305-2	Energy indirect (Scope 2) GHG emissions	Emissions and Energy section of the sustainability report
GRI 305-3	Other indirect (Scope 3) GHG emissions	Emissions and Energy section of the sustainability report
GRI 305-4	GHG emissions intensity	Emissions and Energy section of the sustainability report
GRI 305-5	Reduction of GHG emissions	Emissions and Energy section of the sustainability report
GRI 201-2	Financial implications of climate change	See CDP Submission section C3
Ciena Material Topic: Employee Development and Diversity		
GRI 404: Training And Education		
GRI 103-1	Explanation of the material topic and its Boundaries	Training and Development section of the sustainability report
GRI 103-2	The management approach and its components	Training and Development section of the sustainability report
GRI 103-3	Evaluation of the management approach	Training and Development section of the sustainability report
GRI 404-1	Average hours of training per year per employee	Within the Learning & Development field, it's common practice to adopt the 70/20/10 model of development, recognizing 10% of an individual's overall development is formal training (which includes advancements in micro-learning).
GRI 404-2	Programs for upgrading employee skills and transition assistance programs	Training and Development section of the sustainability report; See page 24 of Proxy Statement
GRI 404-3	Percentage of employees receiving regular performance and career development reviews	100%
GRI 103-1	Explanation of the material topic and its Boundaries	Training and Development section of the sustainability report
GRI 103-2	The management approach and its components	Training and Development section of the sustainability report
GRI 103-3	Evaluation of the management approach	Training and Development section of the sustainability report

Global Reporting Initiative (GRI)		
Standard Disclosure	Disclosure Title	Location
GRI 405-1	Diversity of governance bodies and employees	Diversity and Inclusion section of the sustainability report; See page 27 of the Proxy Statement
GRI 405-2	Ratio of basic salary and remuneration of women to men	Page 24 of the 2021 Proxy Statement; See Compensation under Company Culture section in the Sustainability Report
Ciena Material Topic: Product Sustainability		
GRI 103-1	Explanation of the material topic and its Boundaries	Products section of the sustainability report
GRI 103-2	The management approach and its components	Products section of the sustainability report
GRI 103-3	Evaluation of the management approach	Products section of the sustainability report
N/A	E-waste and product end-of-life management	Products section of the sustainability report
Ciena Material Topic: Community		
GRI 103-1	Explanation of the material topic and its Boundaries	Materiality Assessment Section of the sustainability report
GRI 103-2	The management approach and its components	Materiality Assessment Section of the sustainability report
GRI 103-3	Evaluation of the management approach	Materiality Assessment Section of the sustainability report
Ciena Material Topic: Employee Health and Safety Standards		
GRI 403: Occupational Health and Safety		
Disclosure 403-1	Occupational health and safety management system	Environment, Health, and Safety section of the sustainability report and see page 25 of 2021 Proxy Statement
Disclosure 403-2	Hazard identification, risk assessment, and incident investigation	Environment, Health, and Safety section of the sustainability report and see page 25 of 2021 Proxy Statement
Disclosure 403-3	Occupational health services	Environment, Health, and Safety section of the sustainability report and see page 25 of 2021 Proxy Statement
Disclosure 403-4	Worker participation, consultation, and communication on occupational health and safety	Environment, Health, and Safety section of the sustainability report and see page 25 of 2021 Proxy Statement
Disclosure 403-5	Worker training on occupational health and safety	Environment, Health, and Safety section of the sustainability report and see page 25 of 2021 Proxy Statement
Disclosure 403-6	Promotion of worker health	Environment, Health, and Safety section of the sustainability report and see page 25 of 2021 Proxy Statement
Disclosure 403-7	Prevention and mitigation of occupational health and safety impacts directly linked by business relationships	Environment, Health, and Safety section of the sustainability report and see page 25 of 2021 Proxy Statement

Global Reporting Initiative (GRI)		
Standard Disclosure	Disclosure Title	Location
Disclosure 403-8	Workers covered by an occupational health and safety management system	Environment, Health, and Safety section of the sustainability report and see page 25 of 2021 Proxy Statement
Disclosure 403-9	Work-related injuries	Environment, Health, and Safety section of the sustainability report and see page 25 of 2021 Proxy Statement
Disclosure 403-10	Work-related ill health	Environment, Health, and Safety section of the sustainability report and see page 25 of 2021 Proxy Statement
Ciena Material Topic: Water		
GRI 303: Water and Effluents		
Disclosure 303-1	Interactions with water as a shared resource	See Water stewardship
Disclosure 303-2	Management of water discharge-related impacts	See Water stewardship
Disclosure 303-3	Water withdrawal	See Water stewardship
Disclosure 303-4	Water discharge	See Water stewardship
Disclosure 303-5	Water consumption	See Water stewardship
Ciena Material Topic: Product/Customer Safety		
GRI 416-1	Assessment of the health and safety impacts of product and service categories	Ciena has not identified any issues of non-compliance with regulations and/or voluntary codes during the reporting period.
GRI 416-2	Incidents of non-compliance concerning the health and safety impacts of products and services	Ciena has not identified any issues of non-compliance with regulations and/or voluntary codes during the reporting period.
GRI 103-1	Explanation of the material topic and its Boundaries	Materiality Assessment Section of Sustainability Report
GRI 103-2	The management approach and its components	Materiality Assessment Section of Sustainability Report
GRI 103-3	Evaluation of the management approach	Materiality Assessment Section of Sustainability Report
Ciena Material Topic: Waste		
GRI 306: Waste		
Disclosure 306-1	Waste generation and significant waste-related impacts	See our CDP Report
Disclosure 306-2	Management of significant waste-related impacts	See our CDP Report
Disclosure 306-3	Waste generated	See our CDP Report
Disclosure 306-4	Waste diverted from disposal	See our CDP Report
Disclosure 306-5	Waste directed to disposal	See our CDP Report

Global Reporting Initiative (GRI)		
Standard Disclosure	Disclosure Title	Location
Ciena Material Topic: Labor/Social Rights		
GRI 412: Human Rights Assessment		
Disclosure 412-1	Operations that have been subject to human rights reviews or impact assessments	No human rights reviews or assessments done on Ciena operations, all Ciena employees are trained in the companies code of conduct which describes acceptable behaviors.
Disclosure 412-2	Employee training on human rights policies or procedures	See Human Rights in the Sustainable Supply Chain Section of the Sustainability Report
Disclosure 412-3	Significant investment agreements and contracts that include human rights clauses or that underwent human rights screening	See Human Rights in the Sustainable Supply Chain Section of the Sustainability Report
GRI 409: Forced or Compulsory Labor		
Disclosure 409-1	Operations and suppliers at significant risk for incidents of forced or compulsory labor	Ciena requires its suppliers to comply with all applicable laws, which include those related to slavery and human trafficking. Additionally, Ciena requires its key suppliers to confirm their compliance with United Nations labor and human rights conventions
GRI 408: Child Labor		
Disclosure 408-1	Operations and suppliers at significant risk for incidents of child labor	Ciena maintains a strict set of Supplier Guidelines, to which all Ciena suppliers are expected to adhere. The RBA Code of Conduct, which contains provisions related to freely chosen employment and child labor avoidance, is a fundamental part of these guidance
GRI 407: Freedom of Association and Collective Bargaining		
Disclosure 407-1	Operations and suppliers in which the right to freedom of association and collective bargaining may be at risk	Ciena has adopted the principles set out in the Responsible Business Alliance ("RBA") Code of Conduct. The RBA Code of Conduct establishes standards to ensure working conditions in the electronics industry supply chain are safe, that workers are treated with respect.
Ciena Material Topic: Governance		
GRI 206: Anti-Competitive Behavior		
Disclosure 206-1	Legal actions for anti-competitive behavior, anti-trust, and monopoly practices	See our 10-K Form (part 1)
GRI 205: Anti-Corruption		
Disclosure 205-1	Operations assessed for risks related to corruption	There have been no risks identified related to corruption during the reporting period.
Disclosure 205-2	Communication and training about anti-corruption policies and procedures	See the Code of Business Conduct and Ethics section in the Sustainability Report
Disclosure 205-3	Confirmed incidents of corruption and actions taken	There have been no risks identified related to corruption during the reporting period.

Global Reporting Initiative (GRI)		
Standard Disclosure	Disclosure Title	Location
Ciena Material Topic: Supply Chain		
GRI 414: Supplier Social Assessment		
Disclosure 414-1	New suppliers that were screened using social criteria	See Page 25 of the 2021 Proxy Statement (sustainability assessments with suppliers representing significant spend); See Sustainable Supply Chain Section - Sustainable Supply Chain Results
Disclosure 414-2	Negative social impacts in the supply chain and actions taken	See Page 25 of the 2021 Proxy Statement (sustainability assessments with suppliers representing significant spend); See Sustainable Supply Chain Section - Sustainable Supply Chain Results
GRI 308: Supplier Environmental Assessment		
Disclosure 308-1	New suppliers that were screened using environmental criteria	See Page 25 of the 2021 Proxy Statement (sustainability assessments with suppliers representing significant spend); See Sustainable Supply Chain Section - Sustainable Supply Chain Results
Disclosure 308-2	Negative environmental impacts in the supply chain and actions taken	See Page 25 of the 2021 Proxy Statement (sustainability assessments with suppliers representing significant spend); See Sustainable Supply Chain Section - Sustainable Supply Chain Results
SASB	Accounting Metric	
Standard Disclosure	Disclosure Title	Location
Product Security	Description of approach to identifying and addressing data security risks in products	Ciena has not identified any issues of non-compliance with regulations and/or voluntary codes during the reporting period.
Employee Diversity & Inclusion	Percentage of gender and racial/ethnic group representation for (1) management, (2) technical staff, and (3) all other employees	Diversity and Inclusion; See page 27 of the 2021 Proxy Statement
Product Lifecycle Management	Percentage of products by revenue that contain IEC 62474 declarable substances	Not applicable to the Ciena Portfolio
	Percentage of eligible products, by revenue, meeting the requirements for EPEAT registration or equivalent	Not applicable to the Ciena Portfolio
	Percentage of eligible products, by revenue, meeting ENERGY STAR® criteria	Not applicable to the Ciena Portfolio
	Weight of end-of-life products and e-waste recovered, percentage recycled	Contained within regulatory reporting data for WEEE compliance

SASB		
Standard Disclosure	Accounting Metric	Location
Supply Chain Management	Percentage of Tier 1 supplier facilities audited in the RBA Validated Audit Process (VAP) or equivalent, by (a) all facilities and (b) high-risk facilities	100% of our Tier 1 Contract Manufacturers are audited by RBA
	Tier 1 suppliers' (1) non-conformance rate with the RBA Validated Audit Process (VAP) or equivalent, and (2) associated corrective action rate for (a) priority non-conformances and (b) other non-conformances	100% of our Tier 1 Contract Manufacturers are audited by RBA
Materials Sourcing	Description of the management of risks associated with the use of critical materials	See our conflict minerals statement
Accounting Metrics	Number of units produced by product category	Not publicly shared data
	Area of manufacturing facilities	We operate an outsourced manufacturing model
	Percentage of production from owned facilities	We operate an outsourced manufacturing model

TCFD		
Standard Disclosure	Disclosure Title	Location
Core Element 1: Governance	Disclose the role of the board of the organization in overseeing climate-related issues	See CDP Submission section C1.1
	Disclose the role of management in assessing and managing climate-related issues	See CDP Submission section C1.2
Core Element 2: Strategy	Disclose the climate-related risks and opportunities the organization has identified over the short, medium, and long term	See CDP Submission section C2
	Disclose the impact of climate-related risks and opportunities on the organization's businesses, strategy and financial planning	See CDP Submission section C3
	Disclose the resilience of the organization's strategy, taking into consideration different climate-related scenarios including a 2°C or lower scenario.	See CDP Submission section C3.1a

TCFD		
Standard Disclosure	Disclosure Title	Location
Core Element 3: Risk Management	Describe the organization's processes for identifying climate-related risks.	See CDP Submission section C3.1d
	Describe the organization's process for managing climate-related risks.	See CDP Submission section C12.3f
	Describe how processes for identifying, assessing, and managing climate-related risks are integrated into the organization's overall risk management	See CDP Submission section C2.2a
Core Element 4: Metrics & Targets	Disclose the metrics used by the organization to assess climate-related risks and opportunities in line with its strategy and risk management process.	N/A
	Disclose Scope 1, Scope 2, and, if appropriate, Scope 3 greenhouse gas (GHG) emissions, and the related risks.	See CDP Submission section C6
	Describe the targets used by the organization to manage climate-related risks and opportunities and performance against targets	N/A

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