

# From idea to impact



# Committed to Environmental, Social and Governance Ideals, Improvement and Impact

Curia is dedicated to making a positive impact in the world as a leading contract development and manufacturing organization, inspired by our mission to improve patients' lives. Our products and scientific services enable us to partner with pharmaceutical and biotechnology companies big and small to research, develop, and manufacture life-saving and life-changing products. Our approach to environmental, social and governance (ESG) improvements aligns the higher ambition of what we do with how we do it.

Curia's ESG Committee was established several years ago to integrate our environmental, social and governance initiatives with our business strategies. With the Committee's leadership and oversight, we hold ourselves accountable to our ESG commitment using robust criteria and metrics that demonstrate our commitment as a global corporate citizen — including our commitment to employees, customers, suppliers, and investors, along with the communities and ecosystems where we work and live. I'm proud to introduce you to our second ESG report, which summarizes our ideas and our impact. It highlights a variety of activities throughout our global operations, including several areas of improved performance over last year.

As Curia continues to grow, we remain focused on recruiting and retaining great people. I am happy to report Curia was named to the *Forbes* 2022 "America's Best Employers" list. The Curia Leadership Model, introduced in 2021, provides a foundation to build strong and connected leadership behaviors at every level across Curia. In 2022, this model became the cornerstone for the Curia Leadership Journeys, a series of three progressive skill- and behavior-building journeys available in our customized, internal learning portal, iLearn. Together, this trio of learning experiences provides colleagues with the knowledge and tools to develop robust, healthy leadership skills and behaviors. Our commitment to workplace safety through training and awareness continues to have a

positive impact, as we continue to be an industry leader in workplace safety rates.

In 2022, we expanded our global initiatives related to energy conservation and the reduction of our greenhouse gas (GHG) footprint. With manufacturing operations around the world, we understand the positive local and global impact of forward-thinking policies and strong environmental practices. This year we achieved ISO 14001 and ISO 45001 certifications at four sites.

Each day, we work hard to earn the trust of our customers, employees, and stakeholders with a profound commitment to ethical and compliant practices, supported by a system of governance that equips our employees to make decisions and enables us to do the right thing in the right way. From research through development and manufacturing, we are increasing our impact as we advance customers from curiosity to cure.

While we made significant progress in 2022, our ESG journey continues and we are steadfast in our commitment to continued improvement. I can say with confidence that we have infused the core idea and principles of ESG throughout our organization so we can individually and collectively make an even greater impact. Being a leader in today's competitive business environment requires exceptional performance at every level, and I am proud of our continued commitment to accountability and leadership throughout our organization.



Philip Macnabb  
*Chief Executive Officer*

# About Curia

Curia Global, Inc. is a leading contract research, development and manufacturing organization providing products and services from discovery through commercial manufacturing to pharmaceutical and biopharmaceutical customers. Curia's approximately 3,800 employees at 29 locations across the United States, Europe and Asia help our customers advance from curiosity to cure.

Founded over 30 years ago in Albany, New York, our global team includes more than 600 chemists, 200 biologists, 285 senior scientists and 35 quality and regulatory specialists. Curia has more than 565 active patents and supports the production of more than 20 treatments listed as essential medicines by the World Health Organization.



## We're growing

In October 2022, Curia launched an expansion of our existing facility in Albuquerque, New Mexico. The additional space will house a new advanced isolated high-speed fill-finish vial line — which includes biosafety level 2 (BSL-2) containment as well as two lyophilizers for the high-speed fill-finish line and an isolated flexible filling line for vials, syringes, and cartridges to support smaller-batch advanced therapies.

The expansion was part of a cooperative agreement with the Biomedical Advanced Research and Development Authority (BARDA), Administration for Strategic Preparedness and Response (ASPR) at the U.S. Department of Health and Human Services (HHS), the Department of Defense's Joint Program Executive Office for Chemical, Biological, Radiological and Nuclear Defense (JPEO-CBRND) and the U.S. Army Contracting Command's Joint COVID Response Division (ACC-JCRD) to support the domestic production of injectable medicines. The State of New Mexico is also supporting the expansion through assistance from the Local Economic Development Act (LEDA) job creation fund. Curia is also eligible for state assistance for employee job training from JTIP, New Mexico's Job Training Incentive Program.

# ESG at Curia

Curia's ESG program formally launched in early 2021, with the establishment of a cross-functional committee charged with the implementation of a sustainable and responsible long-term strategy. The program demonstrates our commitment to environmental and social stewardship, supported by transparent and ethical governance. This ESG committee meets quarterly and includes representatives from Compliance, Environmental Health & Safety (EHS), Finance, Human Resources, Legal, Procurement, and Marketing. Our first ESG report was published in spring 2022.

The ESG Committee is sponsored by Curia's General Counsel and Chief Financial Officer. The Committee's co-chairs work cross-functionally with Curia's Operations, Environmental Health and Safety, Human Resources, Finance and Sales Organizations to assist our customers with their own ESG initiatives, providing the information they need related to supply chain reporting and oversight.

Committee members participate in workshops and conferences, nationally and internationally, to increase their awareness of best practices in our industry.

It is critical for us to set ESG objectives and measure ESG outcomes in a consistent, clear and objective manner for our employees, customers, vendors, and community to better understand the contributions Curia is making as a global corporate citizen. The information in this report reflects Curia's global operations. We look forward to further enhancing our ESG report by implementing additional performance driven metrics in the upcoming years.



# Environmental stewardship

Our EHS Policy statement, endorsed by our CEO as well as the global leadership team, outlines the corporate principles and commitment to managing and improving Curia's EHS performance. In April 2019 we began implementing a global EHS Management System, modeled after ISO global standards for environmental management systems (ISO 14001) and occupational health and safety management systems (ISO 45001).

**We are pleased to report that in 2022, we continued to build upon our record of continuous improvement in EHS performance. Here we feature several highlights.**

# ISO certifications

While our EHS Management System mirrors ISO 14001 and 45001 standards at all Curia sites, the following locations have been awarded formal ISO certification:



## ISO 9001 QUALITY MANAGEMENT

Bon Encontre and  
Tonneins (France)  
  
Hyderabad (India)  
  
Hayward (United States)

## ISO 45001 OCCUPATIONAL HEALTH AND SAFETY

Bon Encontre and  
Tonneins (France)  
  
Origgio and Rozzano  
(Italy)

## ISO 14001 ENVIRONMENTAL MANAGEMENT

Bon Encontre and  
Tonneins (France)  
  
Origgio and Rozzano  
(Italy)

## ISO 17025 TESTING AND CALIBRATION

Lebanon (United States)

## ISO 13485 MEDICAL DEVICE QUALITY SYSTEMS

Hopkington  
(United States)

# Sustainability

As part of our EHS Management System, we created a Sustainability Standard, which established a process for going beyond regulatory compliance and taking steps to conserve natural resources, reduce energy use, and further minimize our environmental impact.

This effort includes a five-year plan that began with the collection of data related to our use of natural gas and electricity to effectively calculate greenhouse gas (GHG) emissions and analyze related trends.

This year, we successfully collected 2021 and 2022 electricity and natural gas usage data for all Curia locations to estimate our GHG emissions. Using this data, we will identify areas and projects to reduce energy usage — both electricity and natural gas — and GHG emissions. These reductions will be measured against our 2021 data, our base year.

We continue to make strides toward reducing waste and reducing waste that goes to landfills. From 2021 to 2022 we saw nearly an 82% reduction in the volume of waste going to landfill and approximately 92% of our solvent waste in the US is used for energy recovery or is reclaimed.



<b>2021 TOTAL ENERGY CONSUMPTION IN MWH (BASE YEAR)</b>	<b>344,147</b>
<b>Total Scope 1 GHG emissions in metric tons CO2e (2021)</b>	<b>41,290.41</b>
<b>Total Scope 2 GHG emissions in metric tons CO2e</b>	<b>46,508.72</b>
<b>Total hazardous waste in metric tons (2022)</b>	<b>37,900</b>
<b>Amount of hazardous waste generated in the US that went for energy recovery or reclamation (2022)</b>	<b>~92%</b>
<b>Decrease in waste (hazardous and non-hazardous) going to landfill from 2021 to 2022</b>	<b>~82%</b>



# Trigeneration fuels

At Curia's plant in Origgio, Italy, a trigeneration, or trigen, system was brought online in 2021. The Origgio trigen system uses natural gas to produce heat, electricity, and chilled water for the facility. Use of the trigen system resulted in a 28% reduction in greenhouse gas (GHG) emissions from 2020.

Our sterile fill-finish facility in Glasgow, Scotland entered into a contract to source their electricity from fully renewable energy, essentially reducing their GHG emissions from electricity consumption to zero. They also implemented several programs in 2022 to improve energy efficiency — replacing domestic and raw steam boilers and upgrading their building management system to increase control over building systems, e.g. HVAC. While the full impact of these measures has yet to be realized from these projects, the site has already seen a 50% reduction in overall GHG emissions, year-over-year.

Curia's active pharmaceutical ingredient manufacturing facility in Valladolid, Spain entered into a five-year agreement, starting on January 1, 2023, to obtain up to 4,000 MWh — approximately 50% of its annual electricity consumption — via solar power. In addition to purchasing electricity from a renewable resource, the facility undertook several site improvements to reduce the electricity and natural gas consumption, migrating to LED lights (multi-year process), improving insulation, and optimizing equipment performance.

The full impact of the facility improvements made to our Glasgow and Valladolid sites and the transition to a renewable energy source will be realized in the coming year.

# EU energy reduction



With concern over potential energy rationing because of the war in Ukraine, all Curia sites in Europe conducted a detailed risk analysis. Subsequently, each site developed an operations plan that incorporated a 20% reduction in energy usage. Although no restrictions have been put in place at this time, we are implementing the plans as drafted, and plan to adopt similar energy reduction measures for US operations in 2023.



# Sustainable procurement

In 2020, Curia implemented an Environmental and Sustainable Procurement Policy, designed to ensure that our vendors initiate and implement actions that reduce the environmental impact of the materials they provide. In 2022, we introduced detailed Vendor Guidelines for all providers of goods and services which outline the principles on which we operate including but not limited to conducting business with integrity and ethics, upholding human rights, assuming fundamental responsibility to take care of our planet, driving diversity and inclusion, and rejecting corruption so that we do business in a way that is respectful, compliant, and sustainable.

As part of our process, we perform risk assessments and due diligence on our vendors. If a vendor presents a higher risk profile, Curia conducts a physical audit of the vendor facility and its working practices against certain requirements to determine the effectiveness of their EHS program. We also consider what our vendors are doing for their local communities and how they remediate any impacts of their business on the surrounding environment. Any potential vendor must pass the due diligence assessment before receiving further consideration for qualification. A total of 19 on-site assessments were conducted in 2022.

A woman wearing a white lab coat, a hairnet, and glasses is looking down at a stack of cardboard boxes in a warehouse. The background is filled with more boxes, and there is a decorative graphic of white circles and lines on the right side of the image.

# Alternate vendor qualification

Faced with ongoing challenges with the global supply chain resultant from COVID and geopolitical events, Curia has adopted a risk management approach to minimize material shortages. Curia has taken steps to pre-qualify more than 240 alternative vendors of materials used in the manufacture of key products. This risk management-based approach to procurement helps protect Curia and its customers from inflation challenges and potential supply chain disruptions.

# Category strategies

We implement ESG principles in all our procurement practices. At our site in Albuquerque, New Mexico, we are transitioning from disposable coveralls and boot covers to reusable garmets, thereby reducing landfill waste. In a pilot program at our Albany, New York headquarters, Curia changed from bottled water to water bottle filling stations, eliminating the monthly purchase of 1,400 single-use bottles in a single building. Between August 2022 and early February 2023, use of more than 10,000 single-use bottles has been eliminated. We plan to expand this program to all sites by 2024.

In 2023, Curia will further embed ESG requirements in our Vendor Relationship Management program. For each vendor in this program, 10% of their vendor performance score is predicated on achieving an impactful ESG goal based on the goods or services they provide.

In 2022, Vicki Sleurs, Curia's Associate Director of Global Operational Procurement, received CPSD (Certified Professional in Supplier Diversity) certification from the Institute for Supply Management. This achievement enables Curia to identify opportunities to implement diversity in sourcing decisions. She comments, "Curia will benefit from the addition of diverse suppliers, as we look to increase our supply base for goods and services. Having a more diverse supply base will also help to reduce our supply chain risk."

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*—Vicki Sleurs, Associate Director of Global Operational Procurement*

# LIFE@Curia in changing times



***“Life has changed. The way we work has changed. We are one team with the opportunity to drive what Curia stands for.”***

*—Joe Sangregorio, Chief Human Resources Officer*

The global work environment changed dramatically over the past two years. Manufacturing, operations, research, and corporate functions all faced unexpected challenges. As our workplaces evolved, we recognized that our people practices needed to evolve as well. Life at Curia was changing, so we developed and introduced a new virtual resource for our employees: LIFE@Curia.

LIFE@Curia refers to two distinct but connected ideas. First, the “LIFE” in LIFE@Curia is an acronym for Learning Initiatives For Employees, which unites our commitment to provide colleagues with growth options and professional development opportunities. LIFE@Curia is also the name of our centralized, internal employee resource site, where all colleagues can find useful information and tools to support their “work life” at Curia. As the needs of our people continue to change, so does this site.

In 2022, we launched a new US Employee Policy Handbook hosted on LIFE@Curia, which includes summaries of many policies and

direct links to the full policy in an accessible, easy-to-navigate format. Additionally, to support our newer team members to have a quicker, more productive start to their Curia careers, we developed and introduced a New Hire Onboarding Portal on LIFE@Curia, with a structured path, resources, and links to additional learnings for hiring managers as well as our new colleagues.

Last year, we also introduced a new series of workshops addressing mental health and wellness. Our wellness program, Sonic Boom, provides employees with healthcare discounts based on preventative care, encourages health screenings and incentives for physical fitness.

Healthcare plans are offered to all employees globally, and Curia voluntarily offered COVID sick pay for all employees through 2022. We also offer parental leave for employees welcoming a child through birth or adoption.

Emerging from the global pandemic, like many organizations, we have adjusted our work environment and practices. This includes offering non-manufacturing staff flexible office hours and/or work from home options. On site, we continue to take measures and implement training and awareness exercises to keep our workplaces healthy and safe.

# Recognizing exceptional performance

Setting realistic goals, working toward exceptional outcomes, measuring progress, and actively engaging in regular feedback helps build a culture of high performance and leads to continuous improvement. Our Exceptional Performance and Results (EP&R) approach is designed to connect and align people leaders and their teams, help employees stay on-track to achieve their goals, and reward outstanding performance.

This year-long process starts early as team members and managers work together to set performance goals aligned with Curia priorities. As the year continues, people leaders and team members connect regularly to engage in meaningful conversations about ongoing work and performance, identify areas for additional support, and adjust goals as needed. Finally, at the end of the year, all colleagues are encouraged to reflect on their accomplishments and complete a self-evaluation, which becomes part of the culminating year-end conversation. This measured, intentional approach to performance supports both leaders and team members to align, collaborate, reflect, learn, and assess overall performance while mentally preparing for the next year and improvements.

# Training matched with critical needs

Since 2021 we have been developing a culture of continuous learning, growth, and skill-building using our internal platform, iLearn, powered by Skillsoft's Percipio technology. Available to all exempt-level employees globally, iLearn empowers our employees to own their development, offering a variety of ways to build knowledge for critical work and professional skills in leadership, communications, customer service, finance, project management, quality, operations, technology, and more. Our colleagues have benefitted from hundreds of topics using thousands of resources in multiple languages, including short videos and courses, to books and audio books, summaries, podcasts, and live bootcamps and learning events. In 2022, engaged Curia iLearners completed 19,975 courses and earned 18,802 Digital Badges during nearly 9,500 instructional hours.

Self-directed learning was complemented through a series of live, virtual workshops offered to all colleagues throughout the year. Aligning to our Leadership Model and leveraging our deep-rooted partnership with the Center for Creative Leadership, we offered interactive learning experiences on key topics: *Leading People Through Change*, *Better Conversations Every Day*, *Feedback that Works*, *Talent Conversations*, and *Stepping up to Conflict*.



# Diversity, Equity, and Inclusion: Designed for all to thrive



Our Diversity, Equity, and Inclusion (DE&I) Council was formed in 2021 and includes over 40 global members representing a range of functions and geographies across the organization. The council is designed to be a strong voice at Curia by helping to cultivate a work environment where all employees thrive, focusing on six key pillars:

- **Recruitment** – Increasing the number of diverse and qualified candidates in the recruitment process, thereby increasing the number of diverse and qualified candidates hired
- **Professional Development** – Promoting career development opportunities for the talent-diverse workforce within Curia
- **Engagement & Recognition** – Internal and external promotion and communication of DE&I activities and achievements
- **Community** – Enhancing our spirit of inclusion, so that every Curia employee feels a sense of belonging and respect
- **Education** – Educating our workforce on the business impact of DE&I to demonstrate the need for expanded inclusive behaviors, and to provide the tools necessary to implement those behaviors
- **Cultural Awareness** – Highlighting, celebrating, and understanding our global workforce

In 2022, the Cultural Awareness workstream members designed and presented two cultural “introductions” related to India and Spain. These sessions were hosted in multiple live online sessions, then later posted on the DE&I section of LIFE@Curia. During each presentation, employees were provided with an overview of the history and cultural legacy of the host country. Plans are in place to expand the program in 2023, ultimately covering all countries where Curia has operations.

Throughout the year, the DE&I Council raised awareness of, celebrated, and educated the broader Curia community about various underrepresented groups within our workforce, with monthly spotlights including Women’s History and International Women’s Day, Black History, Juneteenth, Pride, Hispanic/Latino(a)/Chicano(a) Heritage, and Native American Heritage Month.

Also launched this year, the Curia Women’s Affinity Group is a global group with chapters in India, the United States, and Europe. Their focus is the empowerment of women in a healthy and safe work environment which provides unbiased opportunity for individual growth, recognition, and self-development. A survey of members will help determine the scope of programming being planned for 2023.

# Growing cultural awareness: Short-term Assignment Program

While our talented staff around the world interacts regularly on digital platforms, we recognize that time spent in-person has special value for everyone involved. With this in mind, we created the Curia Short-term Assignment Program. Through this program, employees in other countries have an opportunity to spend up to six months in one of Curia's locations in the United States. These employees have the chance to interact with their counterparts, learn new skills, and share best practices. These assignments also provide an opportunity for cultural exchange. Here, three participants share their experiences.

Alicia E de Inés Rodríguez is a Quality Control Supervisor at the Curia facility in Valladolid, Spain. She joined Curia seven years ago and visited our site in Rensselaer, New York in 2022. She described her assignment as a unique personal growth experience that provided "The opportunity to learn how other sites work and the challenge of standardizing processes, along with the chance to improve my English." Professionally, she found the assignment helped her to keep an open mind: "There are different ways to get to the same objective and level of compliance." Alicia also noted that good management skills include awareness of other cultures.



Alicia E de Inés Rodríguez

# Growing cultural awareness: Short-term Assignment Program *(cont.)*

Nagi Kisara, a Senior Research Scientist from Hyderabad, India, has been with Curia for 15 years. His short-term assignment was to our corporate office in Albany, New York, with an opportunity to expand his expertise in Process Chemistry by participating in several proprietary activities, learning novel skills and techniques.

Culturally, Nagi acknowledged his colleagues in Albany are “very supportive and create a very comfortable and friendly atmosphere.” He also found the flexibility in work hours to be very positive. “I was able to work freely without strict restrictions in place.” Like all program participants, Nagi hopes to have another assignment opportunity in the future.



Abdul Azeez Shalik is another Senior Research Scientist based in Hyderabad. His assignment to Albany was his first visit to the United States, and he was particularly interested in expanding his analytical skills and experiencing the different work culture. “Flexible work hours and timelines really allow you to plan your day effectively. This atmosphere lets you feel real ownership of the project.” The analytical techniques, coupled with effective planning and communications allowed Abdul to take a more creative approach to solving problems, all skills he hopes to implement at his home site.

# Employee engagement

**In April 2022, 78% of all employees submitted responses to our employee engagement survey.**

This survey invites employees to confidentially share their thoughts related to their jobs, work environment, management, and our company. Survey results help determine potential areas for improvement and prioritize new programs for the future. In addition to the survey, our CEO hosts quarterly town hall meetings — live and virtual — that provide an opportunity for open discussion and feedback.

# Recognition

## AMERICA'S BEST EMPLOYERS

We were pleased to be recognized on the *Forbes* list of America's Best Employers 2022. *Forbes* and Statista, Inc. selected America's Best Employers through an independent survey applied to a sample of approximately 60,000 American employees working for companies with more than 1,000 employees. Across 25 industry sectors, just 1,000 employers are recognized: 500 large employers and 500 midsize employers. This is our second consecutive year on the *Forbes* list.

This year was transformative for Curia, and we welcomed many employees to our organization with a new brand and renewed commitment to our patient-centered mission. Our recognition in the *Forbes* ranking reflects the commitment and talent of the entire Curia community, which has grown and delivered throughout the course of another challenging year. Together, we continued in our dedication to making an impact on patients' lives.



## MANSFIELD CERTIFICATION FOR LEGAL & COMPLIANCE DEPARTMENT

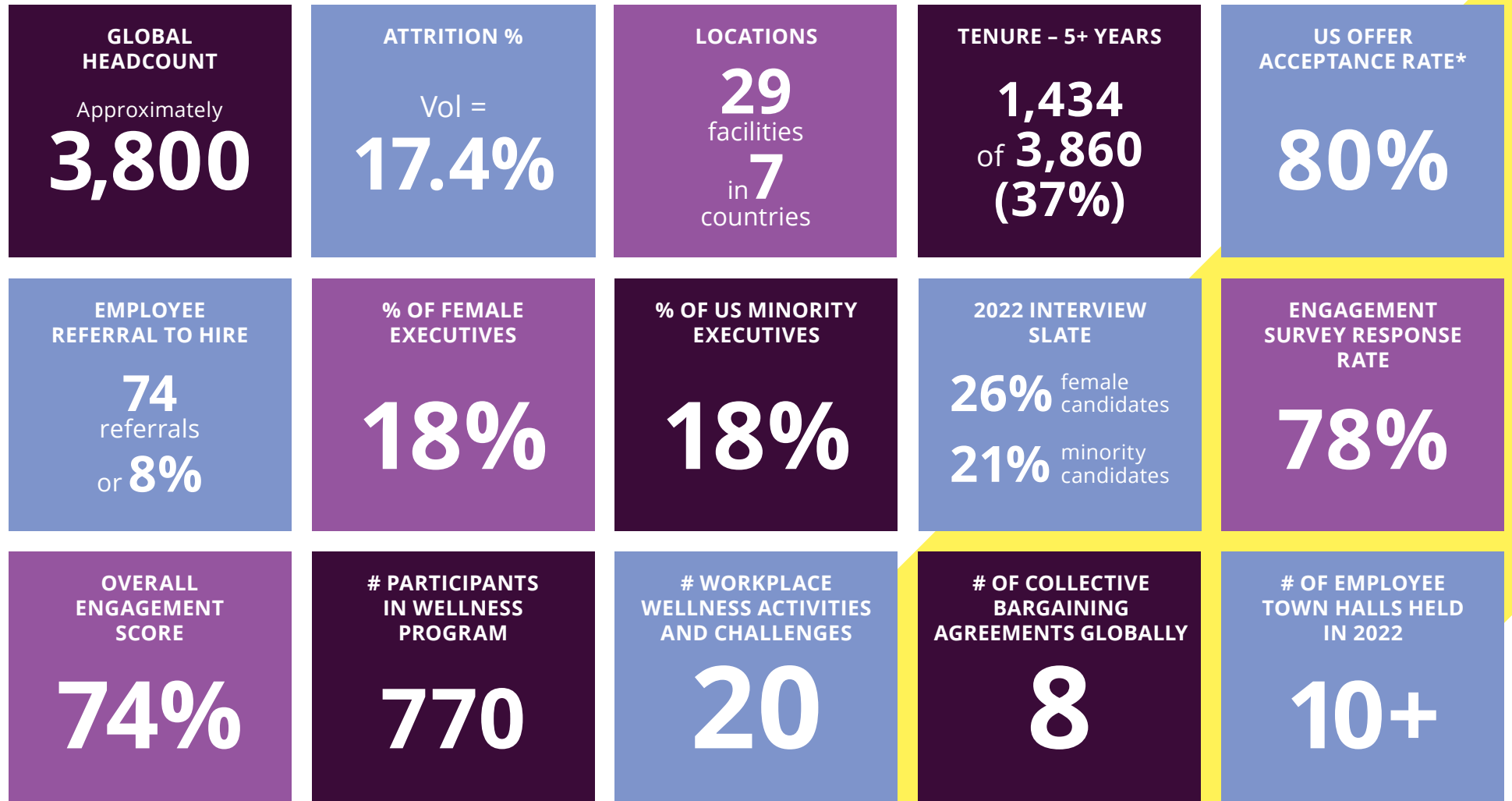
Curia's Legal and Compliance Department achieved MRLD 2.0 Certification Plus status in 2022. Known as Mansfield Certification, this acknowledgement recognizes the actions taken by law firms and in-house legal departments to expand the slate of diverse talent considered for internal leadership positions and to increase transparency regarding advancement expectations and qualifications.



"Our work involves problem-solving and creativity," noted Stacie Phillips, SVP General Counsel and Corporate Secretary. "When you bring together people with varied backgrounds, perspectives, styles, and approaches, you are able to consider all angles of a matter, creating amazing outcomes."



# Curia: By the numbers





# Prioritizing safety for our employees

**At Curia, we are committed to providing a safe and healthy workplace for all employees, contractors and guests.**

In 2022, we introduced a new EHS learning management system (LMS) to enhance our EHS training program. eLearning courses are assigned to employees based upon their location, function, and responsibilities as a supplement to in-person and on-the-job training. Through the end of 2022, 1,757 employees successfully completed more than 168 courses.

All sites have a safety committee in place that meets monthly, along with a crisis response plan. In addition, site leaders conduct regular “safety walks” at their sites, seeking feedback and areas of concern from employees, and reinforcing the important role safety plays in our day-to-day operations.

Overall, these and other initiatives continued to deliver positive results. Our total recordable injury rate (TRIR), or number of injuries requiring more than first aid per 100 employees, has declined for a fifth consecutive year, to 0.39 in 2022, down from 2.21 in 2018 prior to implementing our EHS Management System. These rates reflect our position as an industry leader in maintaining a safe workplace.

# Community engagement

**We strive to make a difference in the communities where our employees work and live. Here are a few highlights of our Curia volunteers in action.**

- Working with a local food pantry in Rensselaer, New York, employees collected food and necessities for nearby families in need during the holiday season. Earlier in the year, Curia volunteers participated in a tree planting with a local land trust. Meanwhile, another group of volunteers spent a day working at a farm operated by a regional food bank.
- Our site in Hyderabad, India has a robust community relations program that includes a committee that is responsible for vetting all requests from local nonprofits or NGOs. As a result, the site and employees have supported a range of organizations. Among them is the Kasturba National Trust, an organization that aids elderly women, victims of human trafficking, and individuals with disabilities with hospital beds and oxygen concentrators.
- Another supported organization is Rainbow Homes, which provides care and education for orphaned children. At their request, we provided laundry facilities for their 12 sites. We also provide IT support with laptops and routers to Sannidhi, an organization that provides shelter and mentoring for local autistic children.
- In Albany, New York, Curia served as a sponsor of the Making Strides Against Breast Cancer walking event. Employees and family members joined the Curia team to raise funds and walk in the fight against breast cancer.
- Employees at our Burlington, Massachusetts site provided for many children and adults with three concurrent drives late in the year. They supported Coats for a Cause, to help those needing to stay warm this winter, along with People Helping People, their local food bank. Finally, they participated in the Toys for Tots program, collecting new, unwrapped toys that are distributed to children throughout the region.



# Community engagement *(cont.)*

- Every year, local employers in Albany, New York, sponsor teams to participate in the annual CDPHP Workforce Challenge, a 3.5 mile race that raises funds for local community charities and the JustRun program, which encourages grade-school children to run for exercise and fun. This year, nearly 40 Curia employees came out and joined in!
- A team of volunteers in Valladolid, Spain, is responsible for a series of community events there, including one focused on women in science. Stem Talent Girl is an innovative educational project that promotes scientific and tech-oriented careers for young women. Curia employees acted as mentors, helping students learn about various roles and opportunities that are available to them. Participants were able to shadow their mentors in their work environment, as well as attend special workshops for hands-on experimental activities.
- This same team coordinated volunteer and fundraising efforts that supported organizations such as the Spanish Association Against Cancer, the Red Cross, and the Parkinson's Association of Valladolid. Another highlight in 2022 was the collaboration with over 20 local pharmaceutical organizations in support of the Spanish Federation of Rare Diseases to promote research, development, and education related to the importance of orphan drugs, frequently used in the treatment of rare diseases.



# Oversight

Curia is owned by two private equity companies, GTCR and The Carlyle Group, and is governed by a Board of Managers. Curia's Board consists of three managers from GTCR, three managers from The Carlyle Group, and six independent managers. The managers have a combined wealth of experience and expertise, leading companies in the financial, consulting, healthcare, medical equipment, and pharmaceutical sectors. Several are current or former executives, including CEOs, at some of the most prominent companies in healthcare. The Board holds quarterly meetings and spends significant time with Curia's senior management to understand dynamics, issues and opportunities. The Board makes decisions and oversees matters such as mergers and acquisitions, high value transactions, material commitments, enterprise risk, and ESG-related metrics and programs. The Board has two committees: **Audit & Compliance** and **Compensation**, which are charged with assisting the Board in fulfilling its oversight responsibilities.

## AUDIT & COMPLIANCE COMMITTEE

The Audit & Compliance Committee assists the Board with respect to Curia's accounting and financial reporting practices and the audit process; the quality and integrity of Curia's financial statements; the independent auditors' qualifications, independence and performance; Curia's compliance function; certain areas of legal and regulatory compliance; material disputes involving the Company, and the establishment of an enterprise risk management (ERM) platform, including major financial and cybersecurity risk exposures.

## COMPENSATION COMMITTEE

The Compensation Committee assists the Board in carrying out the Board's responsibilities relating to the compensation of Curia's executive officers and management team; reviews, approves and administers the incentive compensation plans in which any executive officer or management team member of Curia participates and Curia's equity-based plans; and engages compensation consultants to provide counsel and advice on compensation or benefit plan matters.



## DILIGENT

In 2022 Curia adopted use of the Diligent software platforms for boards and entity governance oversight. The Diligent Board portal enables board members and Curia's executives to share and collaborate information for board and committee meetings in a secure and sophisticated information environment.

# Ethics and compliance



***“At Curia, we constantly endeavor to grow and enhance our end-to-end capabilities from discovery through commercial manufacturing so we can help our pharmaceutical and biotechnology partners improve patients’ lives. We value excellence, innovation and uncompromising quality in our products, processes and services, but above all, we strive for integrity in everything we do. Indispensable to our growth story has been our continued and sustained commitment to ethics, fairness, honesty and integrity as demonstrated by our adherence to a set of clear and consistent guidelines that have been compiled into various corporate policies.”***

*—Mariosa Coppola, Vice President, Deputy General Counsel & Compliance Officer*

## CODE OF ETHICS

Our Code of Ethics and Business Conduct (the Code) acts as an ethical guide to workplace interactions and business dealings. The Code’s principles communicate Curia’s position on numerous topics spanning operational excellence, corporate integrity and compliance as well as our people, community and business partners.

## ANTI-BRIBERY AND ANTI-CORRUPTION

Curia has a strict policy against corruption and bribery and this is expressed in unequivocal terms in the Code as well as further elaborated in our Anti-Bribery, Anti-Corruption, U.K. Bribery Act and U.S. Foreign Corrupt Practices Act Policy. These policies prohibit corrupt payments of any kind and also set forth guidelines for the use of third-party intermediaries who represent Curia in business dealings and whose actions, if not compliant with our anti-corruption policies, may implicate Curia in their improper conduct.

# Ethics and compliance *(cont.)*

## SANCTIONS COMPLIANCE

Curia is committed to strict compliance with sanctions, trade control, and anti-money laundering laws and regulations of countries where it operates. To this end, the Company has in place a robust Sanctions Compliance Program, which includes a U.S. Sanctions Compliance Policy that applies to all (U.S. and non-U.S.) subsidiaries of Curia and requires legal review of any potential business transaction with sanctioned countries/parties.

## EMPLOYEE CONFIDENTIALITY AND PRIVACY

Our Employee Confidentiality Agreement (Policy) and Employee Privacy Policy are critical documents that highlight the importance of protecting the confidentiality of proprietary business information and privacy of an individual's personal information, and further specify the manner in which such information can be accessed, handled, stored and used. These policies take into account and have been adapted — where necessary — to conform to requirements of local laws and regulations of various Curia sites.

## INTERNAL INVESTIGATIONS POLICY

The Company's Internal Investigations Policy sets forth protocols and procedures for the conduct of investigations into allegations of misconduct concerning the Company's operations; and the recently updated Signature Authority Policy provides revised guidelines and approval limits for the signature of documents on behalf of Curia entities.

## INSIDER TRADING AND ANTI- MONEY LAUNDERING

Although Curia's securities are not registered with the U.S. Securities and Exchange Commission (the "SEC") and the transferability of such securities is limited, Curia has nevertheless established an Insider Trading Policy that is intended to educate and assist employees, directors, and officers in complying with applicable insider trading laws and regulations in the purchase and sale of securities of publicly traded companies or private companies with whom Curia has a business relationship. The Company has also issued an Anti-Money Laundering Statement which describes the compliance measures and internal financial controls implemented at Curia to detect and prevent any activity that constitutes or facilitates money laundering.

*The above policies — published in six languages (English, French, German, Italian, Spanish and Chinese) — are available to all employees through the Learning Management System (LMS) for review and reaffirmation in each employee's local/preferred language of choice. Certain policies will also be accompanied by training modules as appropriate. Employees are required to re-affirm annually.*

# Ethics and compliance *(cont.)*

## GLOBAL ETHICS HOTLINE

Any employee or third party with concerns regarding Curia's Code of Ethics and Business Conduct, related policies and standards, or accounting or auditing concerns is encouraged to contact our global ethics hotline, which is available via telephone or online and managed by industry leading hotline provider NAVEX Global. Submissions via the hotline are accepted 24 hours a day, 7 days a week, 365 days a year. Employees may also choose to speak with their supervisor, a Human Resources representative, or the Legal Department with concerns. All reports are reviewed and investigated as appropriate. Curia has a strict non-retaliation policy protecting anyone making a good faith report of any suspicions or violations of our policies.

## DENIED PARTY SCREENING PROGRAM

In 2022 Curia implemented a denied party screening process under which all vendors and customers are automatically and continuously screened against sanctioned, debarred and other restricted party lists to ensure that Curia does not unintentionally engage in business activities with prohibited parties. The screening is automatically performed on all vendors and customers at the time of onboarding as well as continuously thereafter (i.e., on a daily basis). Any screening results that identify potential issues against the denied parties' database are reviewed to determine if the screening result is an actual match and whether it is permissible to deal with the vendor or customer in question, and if yes, on what conditions.

In addition to screening directly against denied and restricted party lists, the screening is also designed to detect sanctioned party ownership and thereby facilitates compliance with the United States Department of the Treasury's Office of Foreign Assets Controls requirements.

## ANTI-DISCRIMINATION

We believe in providing a fair and respectful workplace for all. Discrimination based on race, color, religion, sex, age, national origin, disability, sexual orientation, gender identity or any other legally protected status is strictly prohibited at Curia, within our Code of Ethics, Equal Employment Opportunity Policy, Harassment Prevention Policy and other workplace policies. This applies to all areas of employment, including hiring, training, advancement, compensation, discipline, and termination. Mandatory training for all employees makes certain they are familiar with this policy and understand how to report any suspected violations.

## HUMAN RIGHTS

We believe that dignity and respect are fundamental rights of every individual and we are committed to upholding basic human rights in all areas of our business. In line with our cultural beliefs, DE&I Program and stakeholder feedback, we do not condone human trafficking, forced labor, child labor, harassment, or abuse of any kind, and we expect our vendors and others with whom we do business to operate consistently within these same principles. Our commitment to supporting fundamental human rights is reflected in our Code of Ethics and Business Conduct, as well as our required employee training on these topics.

# Cyber security



***“Cybersecurity at Curia is not only a matter of diligence and troubleshooting. We use a holistic approach of employee education, robust data governance and adherence to comprehensive policies and procedures to ensure an effective program.”***

***—Kevin Wood, Chief Information Security Officer***

Managing cyber threats, vulnerabilities, and risks are top priorities for Curia. Our Cyber Security Program is based on and aligned to the National Institute of Standards and Technology (NIST) Cyber Security Framework (CSF) and Center for Internet Security’s (CIS) Twenty Controls. These frameworks provide necessary inputs and outputs to Curia’s Cyber Security Program. Under the direction of Curia’s Chief Information Security Officer, the Information Security group works closely with Curia’s global and local business divisions to ensure cyber risks are tracked, mitigated, and/or remediated in a timely manner. Risk-based decision making is foundational to our continuous strategic and technical security program maturity and development.

Our employees are critical to the success of Curia’s cyber security, data protection and assurance practices. Security awareness

training is provided when new employees and contractors are on-boarded, and annually for all current employees. In addition, we provide cyber situational awareness messaging as well as simulated phishing training throughout each calendar year.

Curia implements a “defensive in-depth” Cyber Security Program and architecture that includes various physical, technical, and administrative controls. Examples include security policies and procedures as well as technical security controls covering access management, data privacy and protection, cyber security monitoring, vulnerability management, incident response (plan, procedures, exercises, and third-party retainer services), acceptable-use, and network security.



## 2022 CYBER SECURITY HIGHLIGHTS

- Updated Curia Information Security Policy and Employee Computer and Internet Use Policy
- Incident response plan was updated to ensure it is aligned with current technology concerns
- Cyber Security training made available to 100% of employees
- Cyber Security Month

**October 2022 was designated “Cyber Security Month,” which included an awareness campaign of tools and practices that help prevent security issues, including:**

- Multi-factor identification
- Recognizing and reporting phishing
- Using strong passwords
- Implementing software updates



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