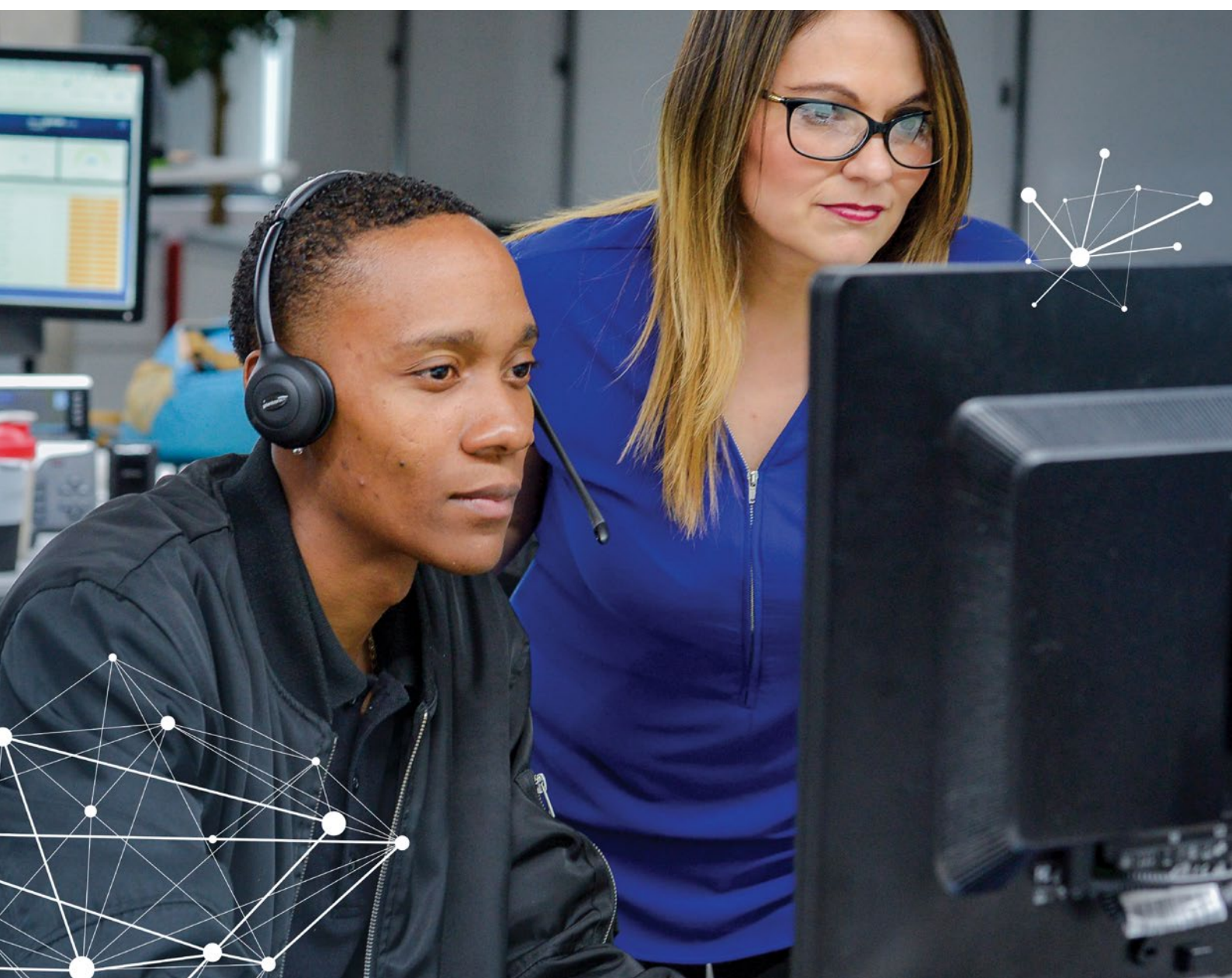


# *Roche Group Employment Policy*







Roche firmly believes that our company's success depends on the talent and performance of dedicated employees. In adopting the present policy, Roche commits itself to the employment practices as set forth in the Roche Group Code of Conduct and in this Policy. These principles define our expectations of our current and future employees and also what they, in return, can expect from Roche as an employer of choice.

Roche strives to be a company that enjoys the pride of its employees by offering an inclusive, innovative, growth-oriented and challenging workplace with the expectation that everybody contributes to the results and shares in the success of the company.

We are committed to promoting mutual respect, trust and integrity. We believe each employee is entitled to fair, courteous and dignified treatment during the hiring process, while employed and at the end of employment. Roche takes appropriate measures to ensure that the rights of employees within the company are protected.

Roche supports and respects the human rights within the sphere of our influence (see for more information: "Roche Position on Respecting Human Rights"). Roche acknowledges the United Nation's Principles on Business and Human Rights implementing the United Nations "Protect, Respect and Remedy" Framework of Prof. Ruggie and recognises and follows the international standard ISO 26000 guidance on social responsibility. We also adhere to the Fundamental Conventions of the International Labour Organization: Elimination of forced and compulsory labour as well as human trafficking (Conventions 29 and 105), abolition of child labour (Conventions 138 and 182), elimination of discrimination in respect of employment and occupation (Conventions 100 and 111), freedom of association and collective bargaining (Conventions 87 and 98). In addition, Roche is a sponsor of the UN Standards of Conduct for Business on Tackling Discrimination against LGBTQ+ people (Lesbian, Gay, Bisexual, Transgender, Queer, with + including all individuals who identify along a spectrum of sexuality and gender expression).

The principles set out in this Policy are designed to establish a uniform minimum standard for all Roche companies and employees.

## **Recruitment, Promotion and Development of Talent**

We recruit and promote people based on their suitability for the position and potential to make future contributions.

We recognise the individual value that employees create for the company. Roche takes appropriate action to gain the benefit of effective and efficient knowledge sharing within and across work teams.

Roche encourages employees to continuously improve and further develop their skill sets. Our performance management process encourages timely fact-based feedback and promotes regular opportunities to discuss development. We provide ongoing training and development opportunities through formal programmes, coaching, mentoring and on-the-job experiences. Each local site has its own policy on training, aligned to local needs and labour laws. In addition, we provide global training programmes in a variety of areas, such as people management and leadership.

## **Flexible Working**

Roche strongly encourages flexible working arrangements to the maximum extent possible within the local legislative environment. The decision about work location and working time depends on personal, site and country circumstances as well as job and business requirements.

## **Communication**

We consider information-sharing and open communication essential to achieving our goals and building a sense of trust. All employees have the right and are encouraged to actively communicate with managers and colleagues through open dialogue. Regular two-way communication, coaching, as well as the giving and receiving of feedback, are also essential to support personal growth and performance.

## **Remuneration**

We remunerate according to the skills, performance and experience of our employees based on local competitive conditions and to share in the success of the company. We are committed to providing equal pay for equal work.

We offer a wide range of attractive benefits to meet the needs of our diverse workforce in accordance with local market practices and supplemental to local social security programmes. Benefits typically support our employees around key life events, through services such as child- and eldercare, medical coverage, life and disability insurance and retirement provision. In addition, we offer a broad range of programmes aimed at our employees' physical and mental wellbeing.







## **Diversity & Inclusion**

Diversity & inclusion is a high priority for Roche. Only in that way can we discover the best ideas and develop truly innovative solutions. Our commitment is strengthened through our global diversity & inclusion strategy. We recognise that together we embrace the unique power of each person to transform the lives of patients and society. Our global diversity & inclusion strategy focuses on four pillars: patients, people, culture and society.

Diversity is the visible and invisible differences that exist among all people. These include, but are not limited to, values, beliefs, physical differences, ethnicity, age, gender, experiences, thinking styles, backgrounds, preferences and behaviours.

Being inclusive means proactively demonstrating behaviours that create an environment in which everyone feels actively included, respected and treated fairly – a place where everyone belongs and can thrive. We want all our employees to have equal access to opportunities and resources, and to be able to be themselves while contributing fully to the organisation’s success. All Roche employees are accountable for creating an inclusive environment.

Our rapidly changing environment is driving us to think differently about how to sustain our competitiveness. The best solutions will come by gaining different perspectives, asking and answering hard questions and challenging the status quo to develop small ideas and achieve big wins in innovation. Our success in creating a truly diverse and inclusive workplace will directly impact our ability to deliver on our purpose of “doing now what patients need next”.

## **Prohibition of Discrimination**

We value and seek diversity in our company and our communities. Roche does not tolerate discrimination in the workplace. We are committed to providing an inclusive environment where anyone, regardless of gender, skin colour, marital status, race, ethnicity, religion, heritage, nationality, or sexual orientation, physical or mental disability as well as any other characteristics protected by applicable laws or regulations where Roche operates, can contribute to our mission to improve patients’ lives.

## **No Acceptance of Harassment**

We do not tolerate any mental, physical or sexual harassment or any other infringement that violates an employee’s right to dignity and respect in the workplace. In the case of harassment, the responsible Roche superior has to ensure its termination and assess the appropriate action to be taken.

## **Forced and Child Labour**

Roche is against all forms of forced and compulsory labour. Roche does not accept the employment of children except under circumstances that protect their welfare and as permitted by law. Roche actively supports programmes such as apprenticeships which provide opportunities for young people where these are part of the national education system.

## **Health, Safety and Environmental Protection**

Roche is committed to protecting the health and safety of its employees and others potentially affected by Roche's activities. Equally, Roche employees must comply with health, safety and environmental protection regulations in force at Roche.

## **Freedom of Affiliation**

We respect the right of all employees to join any legally recognised employee associations and comply with any laws relating to employee representation. Wherever there is an employee representative body, we strive to maintain an open dialogue with these delegations at all times and maintain a relationship based on mutual trust. We proactively approach employee representative bodies in substantial projects affecting employees' interests, where applicable, such as the Roche Europe Forum for European cross-border activities. In all situations we strive to find mutually acceptable solutions for affected employees.

## **Employer's Expectations**

All of our employees are expected to embody Roche's corporate values, act in a professional manner in the interests of, and as ambassadors for the Roche brand. Our people are required to conduct the company's business with honesty and integrity and to handle confidential information with due care and skill.

We also ask that our people live Roche's commitment to sustainability and inclusion, treating their fellow employees with mutual respect and trust. Our employees are expected to always behave ethically and within the law.

Roche recognises that some employees may want to volunteer, to participate in external "gig"-type projects or to take up a secondary employment. Before doing so, every employee must carefully evaluate if any potential conflict of interest could arise; ensure that any applicable laws and regulations are complied with and; through discussions with their line manager, ensure that their existing Roche job is not impacted. Any paid work or secondary employment requires the prior written approval of line management. Where an employee seeks to become a board member, they must also comply with the Roche Directive on Employees Holding Board Memberships.

In addition to volunteering during one's own time, employees can join designated volunteering programmes in their work location and/or, where applicable and appropriate, globally.



Employees are expected to seek advice and direction when the requirements of the law or of good business practice appear unclear. We encourage our employees to get help and advice as needed to comply with the Roche Group Code of Conduct and encourage our employees to use the available speak-up options in case they have in good faith a compliance concern. In addition to locally and regionally available help and advice tools, Roche employees can also use the Roche Group Code of Conduct Help & Advice Line (RoCoCHAL). The Roche SpeakUp Line for reporting compliance concerns comprises an independently run global web and telephone service that enables employees to report compliance concerns confidentially and anonymously.

Our seven Leadership Commitments set clear expectations for all our people leaders at Roche and represent our leadership promise to our employees. Regardless of area of work or level, Roche expects every leader at Roche to demonstrate these commitments day in day out:

I firmly believe that each person at Roche deserves a great leader. Every day I strive to lead by example, consistently demonstrating our values of Integrity, Courage and Passion. This means:

1. I take a genuine interest in people.
2. I listen carefully, tell the truth, and explain “the why”.
3. I empower and trust people to make decisions.
4. I discover and develop the potential in people.
5. I strive for excellence and extraordinary results.
6. I set priorities and simplify work.
7. I congratulate people for a job well done.

## **Employees’ Inputs and Feedback**

We foster an environment where everyone feels encouraged to express his/her opinions and to share ideas. We employ talented people who demonstrate personal ownership, are willing to experiment and learn and who want to shape outcomes that support our purpose and ambitions. We take the opinion of our employees seriously and ask regularly for their feedback including through our global employee survey. We solicit candid, anonymous feedback on needs and expectations to enable identification of areas for improvement. We also use these surveys to determine the level of engagement within the company.





## Implementation

Roche is committed to enforce this Policy in all sites and uses it as the foundation on which our employment processes are designed and monitored. Likewise the company expects all employees to act in accordance with the Policy. If any employee suspects this Policy is being violated, they should immediately inform their line manager, their People & Culture contact or use any of the speak up options available. The responsible Roche manager is required to take the necessary steps to stop the violation of any provision of this Policy. No employee will be disadvantaged if they report a violation or demand the application of this Policy.

All Roche companies have individually to ensure that this Policy is properly implemented in their local employment practices and will ensure that all local policies are developed and communicated to meet the minimum standards. In determining the appropriate local employment practice, they are required to assess the prevailing parameters and inform all employees accordingly.

Our Chief Compliance Officer is committed to ensuring that the Roche Group Code of Conduct is consistently complied with throughout the Roche Group. Our Chief Compliance Officer is responsible for informing the Corporate Executive Committee, the Corporate Governance and Sustainability Committee and the Audit Committee of the Board of Directors about material business ethics incidents, including violations of this Policy, which occurred within the Roche Group.

## Links

[https://www.roche.com/code\\_of\\_conduct](https://www.roche.com/code_of_conduct)

<https://www.business-humanrights.org/en/un-guiding-principles>

<https://www.iso.org/iso-26000-social-responsibility.html>

<http://www.ilo.org/global/standards/introduction-to-international-labour-standards/conventions-and-recommendations/lang--en/index.htm>

## Entry into Force

This Policy was updated and approved by the Chief Executive Officer on July 14, 2021 and entered into force the same day. It replaces the fourth edition dated July 22, 2018.





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