



# **Policy**

on

# **Safety, Security, Health and Environmental Protection (SHE) in the Roche Group**

2012 Edition

# Obligation to Society

Excerpts from the Roche Corporate Principles:

## **Mission**

Our aim as a leading healthcare company is to create, produce and market innovative solutions of high quality for unmet medical needs. Our products and services help to prevent, diagnose and treat diseases, thus enhancing people's health and quality of life. **We do this in a responsible and ethical manner and with a commitment to sustainable development respecting the needs of the individual, the society and the environment.**

## **Respect for the Individual**

We want everyone in the organization to work under optimal conditions of health and safety.

## **Commitment to Society and the Environment**

We want to maintain high ethical and social standards in our efforts to protect the environment.

As part of our commitment towards sustainable development we proactively seek to employ new, more sustainable technologies and processes and to minimize our impact on the environment.

Therefore:

**Safety, security, health and environmental matters are handled with the same sense of responsibility, and just as methodically, as issues concerning quality, productivity and cost-efficiency.**

# General Principles

## Scope

This policy applies to all Group companies and sites of the Roche Group. We expect our suppliers and service providers to live up to comparable standards. This policy replaces the previous version of July 12<sup>th</sup>, 2005.

SHE stands for 'Safety, Security, Health and Environmental Protection', which comprises all issues and activities in these areas.

## Related Standards

In establishing Roche's SHE policy, guidelines and directives special consideration was given to the International Chamber of Commerce's Business Charter for Sustainable Development, international environmental Conventions and internationally recognized standards, such as those of the ISO (International Organization for Standardization).

## Compliance

Roche is committed to fully comply with all relevant laws and regulations in all countries where we operate. Roche's internal SHE guidelines and directives take precedence over locally applicable laws and regulations whenever they exceed the requirements laid down therein.

## Significance

SHE matters are integral parts of business planning, processes and decision making and are handled with the same sense of responsibility, and just as methodically, as quality, productivity and cost-efficiency. This covers all issues within Roche as well as outside. Production constraints and other purely economic considerations must not be allowed to have an undue impact on people and the environment.

## Priorities

At Roche prevention is the key element for all activities, decisions and measures aimed at ensuring safety, security, health and environmental protection. In this context Roche is also engaged in local and international research projects aiming at a better understanding of the impacts of our business activities.

SHE risks are systematically managed through identification of hazards, evaluation and assessment of scenarios and prevention and reduction of risks.

If a SHE risk is deemed unacceptable even after implementation of all technical, organizational and personnel measures, the materials or processes concerned must be replaced, withdrawn or discontinued.

Integrated process optimization regarding environmental impacts takes precedence over the end-of-pipe treatment of by-products, waste or pollutants. Similarly, the inherent safety of plants and processes has priority over other safety measures.

## Implementation

This SHE policy is implemented in a systematic manner by means of all necessary technical, organizational and personnel measures. The principles are further elaborated in Group guidelines and directives which are the basis for local guidelines and directives and the local SHE handbooks.

# Organization and Responsibilities

## Corporate Executive Committee

The Corporate Executive Committee determines the SHE policy on the basis of the Roche Corporate Principles and the Roche Sustainability Charter. They define the organizational structures and designate the functional responsibilities necessary for implementing this policy. In addition they supervise compliance of the whole organization with this policy.

## General Managers, Site Managers

The General Managers of Roche's Group companies and the Site Managers are responsible for all SHE aspects in the areas under their control. On the basis of this policy and the Group SHE guidelines and directives, they adopt the local SHE handbook, establish the local SHE organization and assign the responsibilities.

The persons in charge of SHE at each site are named in the local SHE handbook.

General Managers and Site Managers ensure that all local staff know about and comply with all relevant laws and regulations as well as with this policy and the Group SHE guidelines and directives. In addition they ensure local staff's compliance with all their statutory and regulatory requirements.

In particular, they take all technical, organizational and personnel measures to prevent potentially hazardous situations and to manage incidents or accidents which might occur nevertheless. They nominate a local SHE Officer and a Site Security Officer to support and supervise implementation.

They cooperate with the local competent authorities in matters concerning SHE.

They are supported by Group and divisional management in bearing their responsibilities.

## Line managers

Line managers are responsible for the implementation of all necessary SHE measures in the area under their control.

## Group SHE department

The Group SHE department submits SHE policy proposals to the Corporate Executive Committee for approval and monitors policy implementation. It establishes the Group SHE guidelines and standards and is authorized to issue directives valid throughout the Group in response to specific SHE problems.

The Group SHE department gathers and communicates general information on SHE issues. In order to provide a realistic picture about the SHE status in the Group and to initiate necessary corrective actions, it audits Group companies and sites and collects, evaluates and assesses SHE-related key performance data on a regular basis.

The Group SHE department may delegate parts of its tasks to regional or functional groups.

## Employees

Every employee is personally responsible for SHE at the workplace to the full extent required by his or her duties and to the best of his or her knowledge, ability and experience.

## **Continual Improvement**

### **SHE objectives**

SHE objectives are defined on the basis of the general SHE strategy of the Roche Group, the present SHE status in the Group, the state-of-the-art of technology and the current developments in society in striving for continual improvement.

SHE performance and achievement of objectives is measured against defined key performance indicators which are based on internationally accepted standards. The necessary information and data are collected regularly by the Group SHE department from all Group companies and sites.

### **SHE status**

The state of SHE is periodically assessed by means of facility tours and spot checks by plant management, inspections by local SHE officers, audits by the Group SHE department and through evaluation of performance indicators. If weaknesses, shortcomings or potentials for improvement are identified, corrective actions are taken to improve the situation.

### **SHE efficiency**

Roche uses available resources for SHE in a way that brings out the best overall result through well-reasoned prioritization of SHE projects and activities.

In procuring and using raw materials and energy sources, selecting technologies and constructing and operating its facilities, Roche strives to conserve resources, avoid damage to the environment and protect the health of workers and the public. Increasing the eco-efficiency of processes and facilities is a priority.

### **Reporting and Communication**

Roche communicates openly about SHE with its employees, the authorities, shareholders, the media, neighboring communities, customers, suppliers, interested organizations and the public at large.

Special emphasis is placed on fast, open and correct information in case of emergencies.

Roche regularly reports internally and externally on SHE key figures, SHE developments and strengths and weaknesses in the Group. SHE reporting is part of the Roche business report according to internationally accepted standards.

### **SHE management system**

The SHE management system is periodically reviewed with special emphasis on possible improvements.

Approved by the Corporate Executive Committee on March 19<sup>th</sup>, 2012