

Roche: 2021 United Nations Global Compact (UNGC) Communication on Progress

Roche has been a [signatory](#) to the UN Global Compact since 2021. The following Communication on Progress (COP) shows our commitment to making the UNGC and its ten principles part of our strategy, culture and day-to-day operations, and to advancing the broader development goals of the United Nations, in particular the [Sustainable Development Goals](#). This COP qualifies for a GC Active Level. It draws information from our [2021 Annual Report](#) and the [roche.com](#) website. All positions and policies can be downloaded from the [Sustainability Download Centre](#).

Statement of support from the CEO

“As a signatory of the UN Global Compact (UNGC), Roche commits to integrate the 10 principles in the areas of human rights, labour, environment and anti-corruption into its business strategy, culture and daily operations. In this first Communication on Progress, we reaffirm our support to the UNGC and we describe our actions to continually drive this integration. We also commit to sharing this information with our stakeholders using our primary channels of communication. Roche values the guidance and leadership of the UNGC, and looks forward to pursuing action in support of the organisation’s goals and values.”

Severin Schwan, February 2022

Contents

Human Rights

Principle 1.....[Page 2](#)
Principle 2.....[Page 3](#)

Labour

Principle 3.....[Page 4](#)
Principle 4.....[Page 4](#)
Principle 5.....[Page 5](#)
Principle 6.....[Page 5](#)

Environment

Principle 7.....[Page 6](#)
Principle 8.....[Page 7](#)
Principle 9.....[Page 8](#)

Anti-Corruption

Principle 10.....[Page 9](#)

Human Rights

Principle 1: Businesses should support and respect the protection of internationally proclaimed human rights.

Assessment, policy and goals	Roche Group Code of Conduct Roche Supplier Code of Conduct Roche Group Employment Policy Roche Position on Respecting Human Rights Roche Modern Slavery Act
Implementation	Human rights Code of Conduct Meeting high standards of business ethics Human Rights in the value chain Guidance on adequate Due Diligence Process for Protecting Human Rights 2021 Annual Report (pages 75-83; 122-124) Materiality assessment and stakeholder engagement Our access to healthcare initiatives Access to investigational medicines Roche products on the WHO Model List of Essential Medicines Global standards for conducting clinical trials Roche’s Position on Access to & Use of Real World Data Roche Position on Clinical Research Roche Position on Human Genetic and Genomic Research Roche Position on Human Specimen Resources (Biobanks) Roche Position on Human Stem Cells
Measurement of outcomes	2021 Annual Report (page 125) KPIs: Our social impact Human rights (KPIs at the bottom)
Reference to GRI disclosure numbers	GRI 102-8 GRI 102-16 GRI 102-44 GRI 102-46 GRI 102-47 GRI 103-1 GRI 401-1 GRI 410-1 GRI 412-1

Principle 2: Businesses should make sure that they are not complicit in human rights abuses.

Assessment, policy and goals	Roche Group Code of Conduct Roche Supplier Code of Conduct Roche Group Employment Policy Roche Position on Respecting Human Rights Roche Modern Slavery Act
Implementation	Human rights Code of Conduct Meeting high standards of business ethics Human Rights in the value chain 2021 Annual Report (pages 75-83; 122-124) Guidance on adequate Due Diligence Process for Protecting Human Rights Compliance training of Roche business partners Global standards for conducting clinical trials
Measurement of outcomes	2021 Annual Report (page 125) KPIs: Our social impact Human rights (KPIs at the bottom) Human Rights in the value chain (Human Rights findings)
Reference to GRI disclosure numbers	GRI 102-9 GRI 102-16 GRI 102-46 GRI 203-2 GRI 205-1 GRI 410-1 GRI 411-1 GRI 412-1 GRI 412-3 GRI 414-1 GRI 414-2

Labour

Principle 3: Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining.

Assessment, policy and goals	Roche Group Code of Conduct Roche Group Employment Policy Roche Supplier Code of Conduct Roche Position on Respecting Human Rights
Implementation	Our employee policy Human Rights in the value chain Human rights
Measurement of outcomes	KPIs: Our social impact
Reference to GRI disclosure numbers	GRI 102-41 GRI 403-1 GRI 407-1

Principle 4: Businesses should uphold the elimination of all forms of forced and compulsory labour.

Assessment, policy and goals	Roche Group Code of Conduct Roche Group Employment Policy Roche Supplier Code of Conduct Roche Position on Respecting Human Rights Roche Modern Slavery Act
Implementation	Human rights Human Rights in the value chain 2021 Annual Report (pages 122-124)
Measurement of outcomes	2021 Annual Report (page 125) KPIs: Our social impact Human Rights in the value chain (Human Rights findings)
Reference to GRI disclosure numbers	GRI 408-1 GRI 409-1

Principle 5: Businesses should uphold the effective abolition of child labour.

Assessment, policy and goals	Roche Group Code of Conduct Roche Supplier Code of Conduct Roche Group Employment Policy Roche Position on Respecting Human Rights Roche Modern Slavery Act
Implementation	Human rights Human Rights in the value chain 2021 Annual Report (pages 122-123)
Measurement of outcomes	2021 Annual Report (page 125) KPIs: Our social impact Human Rights in the value chain (Human Rights findings)
Reference to GRI disclosure numbers	GRI 408-1

Principle 6: Businesses should uphold the elimination of discrimination in respect of employment and occupation.

Assessment, policy and goals	Roche Group Employment Policy Roche Group Code of Conduct Roche Supplier Code of Conduct Roche's Bylaws (Board diversity policy, page 10, article 7 paragraphs 4-7) HIV/AIDS in the workplace guideline (at the bottom of the page) Roche Position on Respecting Human Rights
Implementation	Human rights Human Rights in the value chain Board member selection criteria (race and ethnicity) 2021 Annual Report (pages 88-89) Diversity & Inclusion Diversity is personal Open and proud Genentech D&I 2020 report Diversity & inclusion at Genentech Genentech: Our work in action
Measurement of outcomes	KPIs: Our social impact Human rights (KPIs at bottom of page)
Reference to GRI disclosure numbers	GRI 405-1 GRI 405-2 GRI 406-1

Environment

Principle 7: Businesses should support a precautionary approach to environmental challenges.

Assessment, policy and goals	Roche Group Code of Conduct Roche Supplier Code of Conduct Roche Group Policy on Safety, Security, Health and Environmental Protection (SHE) Guidelines for the Assurance of Safety, Security, Health and Environmental Protection in the Roche Group
Implementation	Our approach to Safety, Security, Health & Environment (SHE) Our efforts to minimise our environment footprint 2021 Annual Report (pages 99-101) Roche Position on Biodiversity Roche Position on Biotechnology – Safety, Health and Environmental Aspects Roche’s Position on Energy Roche’s Position on Greenhouse Gases and Climate Change Roche’s Position on Landfills / Contaminated Soil Roche Position on Pharmaceuticals in the Environment (PiE) Roche Position on Preventing and Reducing Pollution: We protect Air, Water and Soil Roche Position on Product Stewardship Roche Position on Safety, Security, Health and Environmental Protection (SHE) in the Supply Chain Roche Position on Water Roche’s Position on Waste Management and Circular Economy
Measurement of outcomes	SHE goals for the Roche Group: 2020-2025 Our SHE Goals and Performance KPIs: Our environmental impact 2021 Annual Report (pages 25, 102-105)
Reference to GRI disclosure numbers	GRI 301-1 GRI 302-3 GRI 303-1 GRI 304-3 GRI 305-4 GRI 306-1 GRI 307-1 GRI 308-2

Principle 8: Businesses should undertake initiatives to promote greater environmental responsibility.

<p>Assessment, policy and goals</p>	<p>Roche Group Code of Conduct Roche Supplier Code of Conduct Roche Group Policy on Safety, Security, Health and Environmental Protection (SHE) Guidelines for the Assurance of Safety, Security, Health and Environmental Protection in the Roche Group</p>
<p>Implementation</p>	<p>Minimise the environmental footprint Efficiency meets ecology On the path to a greener future Environmental protection is part of our history No one can deny the existence of climate change 2021 Annual Report (pages 99-101) Roche Position on Biodiversity Roche Position on Biotechnology – Safety, Health and Environmental Aspects Roche’s Position on Energy Roche’s Position on Greenhouse Gases and Climate Change Roche’s Position on Landfills / Contaminated Soil Roche Position on Pharmaceuticals in the Environment (PiE) Roche Position on Water Roche’s Position on Waste Management and Circular Economy</p>
<p>Measurement of outcomes</p>	<p>SHE goals for the Roche Group: 2020 - 2025 Our SHE Goals and Performance KPIs: Our environmental impact 2021 Annual Report (pages 25, 102-105)</p>
<p>Reference to GRI disclosure numbers</p>	<p>GRI 301-1 GRI 302-3 GRI 303-1 GRI 304-3 GRI 305-4 GRI 306-1 GRI 307-1 GRI 308-2</p>

Principle 9: Businesses should encourage the development and diffusion of environmentally friendly technologies.

<p>Assessment, policy and goals</p>	<p>Roche Group Code of Conduct Roche Supplier Code of Conduct Roche Group Policy on Safety, Security, Health and Environmental Protection (SHE) Guidelines for the Assurance of Safety, Security, Health and Environmental Protection in the Roche Group</p>
<p>Implementation</p>	<p>Becoming ever greener Zero emissions or bust 2021 Annual Report (pages 99-101) Roche Position on Biodiversity Roche Position on Biotechnology – Safety, Health and Environmental Aspects Roche’s Position on Energy Roche’s Position on Greenhouse Gases and Climate Change Roche’s Position on Landfills / Contaminated Soil Roche Position on Pharmaceuticals in the Environment (PiE) Roche Position on Water Roche’s Position on Waste Management and Circular Economy</p>
<p>Measurement of outcomes</p>	<p>SHE goals for the Roche Group: 2020 - 2025 Our SHE Goals and Performance KPIs: Our environmental impact 2021 Annual Report (pages 25, 102-105)</p>
<p>Reference to GRI disclosure numbers</p>	<p>GRI 301-1 GRI 302-3 GRI 303-1 GRI 304-3 GRI 305-4 GRI 306-1 GRI 307-1 GRI 308-2</p>

Anti-Corruption

Principle 10: Businesses should work against corruption in all its forms, including extortion and bribery.

<p>Assessment, policy and goals</p>	<p>Roche Group Code of Conduct Roche Supplier Code of Conduct Behaviour in Business Behaviour in Competition Roche Group Insider Directive Policy on Philanthropic Donations and Non-commercial Sponsorship Working with Government Officials: Good Practice Guidelines Roche's Position on Partnering with Patient Communities Roche Directive Collaborating with Patient Groups and Patients Roche Position on Clinical Research</p>
<p>Implementation</p>	<p>2021 Annual Report (pages 121-129) Code of Conduct eLearning programs Chief Compliance Officer Business integrity Procurement Risk Management Meeting high standards of business ethics Materiality assessment and stakeholder engagement Our approach to public policy Business partner information Anti-Corruption Compliance Questionnaire for Roche Business Partners Assurance declaration on adequate application of Roche's Anti-Corruption Compliance Questionnaire for Business Partners Anti-Corruption Compliance Assurance Confirmation of Roche's Business Partners</p>
<p>Measurement of outcomes</p>	<p>KPIs: Our social impact Code of conduct EFPIA Code Disclosure 2021 Self-Certification Scheme F. Hoffmann-La Roche Ltd in Transparency register Annual lobbying for Roche Holdings Supporting associations and political institutions</p>
<p>Reference to GRI disclosure numbers</p>	<p>GRI 102-16 GRI 102-17 GRI 205-1 GRI 206-1 GRI 415-1</p>

	GRI 417-1 GRI 419-1
--	------------------------