

# GRI reference list

This list shows how GRI indicators were taken into consideration in this Sustainability Report.

## Vision and Strategy

	1	2	3	4	5	6	7	Page in report/remarks
1.1 Statement of the organisation's vision and strategy regarding its contribution to sustainable development.	■							Pages 11, 106
1.2 Statement from the CEO.	■							Page 5

## Profile

	1	2	3	4	5	6	7	Page in report/remarks
<b>Organisational Profile</b>								
2.1 Name of reporting organisation.	■					■		
2.2 Major products and/or services.						■		
2.3 Operational structure of the organisation.						■		
2.4 Description of major divisions, operating companies, subsidiaries and joint ventures.						■		
2.5 Countries in which the organisation's operations are located.						■		
2.6 Nature of ownership; legal form.						■		
2.7 Nature of markets served.						■		
2.8 Scale of the reporting organisation:								
• number of employees;	■					■		Page 58
• products produced/services offered (quantity or volume);						■		
• net sales; and	■					■		Page 35
• total capitalisation broken down in terms of debt and equity.						■		
In addition to the above, reporting organisations are encouraged to provide additional information, such as:								
• value added;						■		
• total assets; and						■		
• breakdowns of any or all of the following:								
• sales/revenues by countries/regions that make up 5 percent or more of total revenues;						■		According to region, no further detail
• major products and/or identified services;								Only products with highest sales
• costs by country/region; and						■		
• employees by country/region.	■					■		Page 58
2.9 List of stakeholders, key attributes of each, and relationship to the reporting organisation.					■			
<b>Report Scope</b>								
2.10 Contact person(s) for the report, including e-mail and web addresses.	■							Page 108
2.11 Reporting period (e.g., fiscal/calendar year) for information provided.	■							Page 31
2.12 Date of most recent previous report (if any).	■							Page 5
2.13 Boundaries of report and any specific limitations on the scope.	■							Pages 29, 72
2.14 Significant changes in size, structure, ownership, or products/services that have occurred since the previous report.	■					■		Pages 29, 72

	1	2	3	4	5	6	7	Page in report/remarks
2.15 Basis for reporting on joint ventures, partially owned subsidiaries, leased facilities, outsourced operations, and other situations that can significantly affect comparability from period to period and/or between reporting organisations.	■					■		Based on CEFIC; all required parameters are shown Page 29
2.16 Enplanation of the nature and effect of any re-statements of information provided in earlier reports, and the reasons for such restatement.	■							Pages 29, 72
<b>Report Profile</b>								
2.17 Decisions not to apply GRI principles or protocols in the preparation of the report.	■							Page 29
2.18 Criteria/definitions used in any accounting for economic, environmental, and social costs and benefits.	■							Page 30
2.19 Significant changes from previous years in the measurement methods applied to key economic, environmental, and social information.	■							Pages 29, 72
2.20 Policies and internal practices to enhance and provide assurance about the accuracy, completeness, and reliability that can be placed on the Sustainability Report.	■							Page 29
2.21 Policy and current practice with regard to providing independent assurance for the full report.	■							Page 29
2.22 Means by which report users can obtain additional information and reports about economic, environmental, and social aspects of the organisation's activities, including facility-specific information (if available).	■							Page 108

### Governance structures H13 and management systems

#### Structure and Governance

3.1 Governance structure of the organisation.						■		
3.2 Percentage of the board of directors that are independent, non-executive directors.						■		
3.3 Process for determining the expertise board members need to guide the strategic direction of the organisation, including issues related to environmental and social risks and opportunities.						■		
3.4 Board-level processes for overseeing the organisation's identification and management of economic, environmental, and social risks and opportunities.	■							Page 27
3.5 Linkage between executive compensation and achievement of the organisation's financial and non-financial goals (e.g., environmental performance, labour practices).						■		
3.6 Organisational structure and key individuals responsible for oversight, implementation, and audit of economic, environmental, social, and related policies.	■					■		Page 27
3.7 Mission and values statements, internally developed codes of conduct or principles, and policies relevant to economic, environmental, and social performance and the status of implementation.	■							Pages 11, 27, 106
3.8 Mechanisms for shareholders to provide recommendations or direction to the board of directors.						■		
<b>Stakeholder Engagement</b>								
3.9 Basis for identification and selection of major stakeholders.	■							Page 24
3.10 Approaches to stakeholder consultation reported in terms of frequency of consultations by type and by stakeholder group.		■						Page 24

	1	2	3	4	5	6	7	Page in report/remarks
3.11 Type of information generated by stakeholder consultations.		■						Page 24
3.12 Use of information resulting from stakeholder engagements.	■							Page 24
<b>Overarching Policies and Management Systems</b>								
3.13 Explanation of whether and how the precautionary approach or principle is addressed by the organisation.		■						
3.14 Externally developed, voluntary economic, environmental, and social charters, sets of principles, or other initiatives to which the organisation subscribes or which it endorses.	■							Pages 23, 25, 92
3.15 Principal memberships in industry and business associations, and/or national/international advocacy organisations.	■							Pages 24, 25
3.16 Policies and/or systems for managing upstream and downstream impacts, including:								
• supply chain management as it pertains to outsourcing and supplier environmental and social performance; and	■							Page 21
• product and service stewardship initiatives.	■							Pages 21, 23, 24
3.17 Reporting organisation's approach to managing indirect economic, environmental, and social impacts resulting from its activities.	■							Pages 35, 36
3.18 Major decisions during the reporting period regarding the location of, or changes in, operations.						■		Page 29
3.19 Programmes and procedures pertaining to economic, environmental, and social performance. Include discussion of:								
• priority and target setting;	■							Page 11
• major programmes to improve performance;	■							Page 28
• internal communication and training;	■							Pages 28, 69, 91
• performance monitoring;	■							Page 30
• internal and external auditing; and	■							Pages 92, 94
• senior management review.	■							Page 27
3.20 Status of certification pertaining to economic, environmental, and social management systems.	■							Page 92

**GRI Content Index**

4.1 A table identifying location of each element of the GRI Report Content, by section and indicator.	■							Page 96
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**Economic performance indicators**

<b>Customers</b>								
EC1: Net sales	■						■	Page 35
EC2: Geographic breakdown of markets							■	
<b>Suppliers</b>								
EC3: Cost of all goods, materials, and services purchased							■	
EC4: Percentage of contracts that were paid in accordance with agreed terms.					■			In principal each contract is carried out according to the agreed terms.
<b>Employees</b>								
EC5: Total payroll and benefits	■						■	Page 58
<b>Capital providers</b>								
EC6: Distributions to providers of capital							■	
EC7: Increase/decrease in retained earnings at end of period							■	

	1	2	3	4	5	6	7	Page in report/remarks
<b>Public sector</b>								
EC8: Total sum of taxes of all types broken down by country						■		Total income taxes are shown (not broken down by country)
EC9: Subsidies received					■			
EC10: Donations				■				Roche does not currently issue any global figures as they have only limited significance. Page 52.

## Environmental performance indicators

	1	2	3	4	5	6	7	Page in report/remarks
<b>Material</b>								
EN1: Total materials used other than water, by type				■				The production of individual pharmaceutical substances takes place using completely different syntheses in many different places and at different times. This figure does not have any continuity and as such does not value in the estimation of environmental performance.
EN2: Percentage of materials used that are wastes				■				See remarks for EN1.
<b>Energy</b>								
EN3: Direct energy use	■							Pages 74, 79
EN4: Indirect energy use	■							Pages 74, 79
EN17: Initiatives to increase energy efficiency	■							Pages 71, 85
EN19: Other indirect energy use	■							Page 79
<b>Water</b>								
EN5: Total water use	■							Page 84
<b>Biodiversity</b>								
EN6: Biodiversity-rich habitats			■					Not relevant to Roche business
EN7: Impacts on biodiversity				■				Eco-toxicological material data for intermediate and end products are being prepared but are not published in this report.
<b>Emissions, Effluents, and Waste</b>								
EN8: Greenhouse gas emissions	■							Pages 74, 83, 85
EN9: Use and emissions of ozone-depleting substances	■							Pages 74, 83
N10: NO <sub>x</sub> , SO <sub>2</sub> and other significant air emissions by type	■							Pages 74, 83
EN11: Total amount of waste	■							Pages 74, 82
EN12: Significant discharges to water by type	■							Page 83
EN13: Significant spills of chemicals, oils, and fuels	■							Page 84
<b>Products and services</b>								
EN14: Significant environmental impacts				■				Environmental risk assessments of principal products and services were prepared for all active substances but are not published in this report.
EN15: Recyclable products	■							Page 82. Valorised by-products, recycled solvents
<b>Compliance</b>								
EN16: Fines for non-compliance	■							Page 91
<b>Overall</b>								
EN35: Total environmental expenditures by type	■							Pages 89, 90

## Social performance indicators

	1	2	3	4	5	6	7	Page in report/remarks
<b>Employment</b>								
LA1: Workforce	■							Page 58
LA2: Net employment creation and average turnover	■							Page 58, 59

	1	2	3	4	5	6	7	Page in report/remarks
<b>Labour/Management relations</b>								
LA3: Percentage of employees represented	■							Page 67
LA4: Policy and procedures involving information, consultation, and negotiation with employees over changes	■							Page 67
<b>Health and safety</b>								
LA5: Occupational accidents and diseases	■							Pages 76, 77
LA6: Health and safety committees	■							Page 76
LA7: Key figures on injury, lost day, and absentee rates and work-related fatalities	■							Page 77
LA8: Description of policies or programmes on HIV/AIDS	■							Page
<b>Training and further education</b>								
LA9: Average hours of training per year per employee	■							Page 67

### Diversity and opportunity

LA10: Equal opportunity policies and programmes	■							Page 65
LA11: Composition of senior management and corporate governance bodies (including the Board of Directors)						■		
LA12: Employee benefits		■		■		■		Page 63 Locally arranged according to performance of each local business.

### Human rights

<b>Strategy and management</b>								
HR1: Policies, guidelines, corporate structure, and procedures to deal with human rights	■						■	Pages 66, 67, 106
HR2: Human rights and investment and procurement decisions	■						■	Pages 66, 106
HR3: Human rights and the supply chain	■						■	Pages 21, 67, 106
<b>Non-discrimination</b>								
HR4: Prevention of discrimination in business activities	■						■	Page 65
<b>Freedom of Association and Collective Bargaining</b>								
HR5: Principles of freedom of association policy	■						■	Pages 66, 67
<b>Child labour</b>								
HR6: Principles regarding exclusion of child labour	■						■	Pages 66, 67
<b>Forced and compulsory labour</b>								
HR7: Guidelines to prevention of forced and compulsory labour	■						■	Pages 66, 67

### Social

<b>Guidelines on communities/companies</b>								
SO1: Description of policies to manage impacts on communities areas affected by activities, as well as description of procedures/ programmes to address this issue, including monitoring systems and results of monitoring.					■			No general guidelines. Defined locally. 40% of local companies have their own guidelines.
SO4: Awards received relevant to social, ethical, and environmental performance	■							Pages 24, 60, 61, 62, 63, 64, 66, 85, 87
<b>Bribery and corruption</b>								
SO2: Guidelines to addressing bribery and corruption	■							Page 23

	1	2	3	4	5	6	7	Page in report/remarks
<b>Political support</b>								
SO3: Guidelines to managing political lobbying and contribution						■		No general guidelines. Directed by local arrangements
<b>Competition and pricing</b>								
SO6: Court decisions pertaining to anti-trust and monopoly regulations						■		
SO7: Guidelines to prevention of anti-competitive behaviour	■							Page 23

## Product responsibility

<b>Consumer health and safety</b>								
PR1: Guidelines to preservation of customer health and safety	■							These principles are covered in the pharmaceutical industry to a great extent by national and international laws and guidelines.
<b>Products and services</b>								
PR2: Guidelines to product information and labelling	■							These principles are covered in the pharmaceutical industry to a great extent by national and international laws and guidelines.
<b>Respect for privacy</b>								
PR3: Guidelines to consumer privacy	■							These principles are covered in the pharmaceutical industry to a great extent by national and international laws and guidelines.

1 Indicator and detailed data in report

2 Indicator is covered in report but detailed data is not fully available

3 Indicator does not apply to Roche

4 Data submitted but not published in this report

5 Data not available

6 To be found in financial section of Annual Report

7 No material violations