



## TO WHOM IT MAY CONCERN

### **Certificate on Roche's Sustainability Commitments, Initiatives and Performance**

#### **Purpose**

Various stakeholders may require certification regarding Roche's Sustainability commitments, initiatives and performance. The purpose of this Certificate is to provide the required information as well as signpost where additional material can be found.

#### **Sustainability at Roche**

At Roche sustainability is about creating sustainable value for our stakeholders through improving lives – now and in the future.

For over 120 years, Roche has been committed to improving lives. The long-term thinking of our founders and the stable majority ownership has allowed us to stay true to this vision and shapes the way we make a difference to the lives of millions of patients around the world.

We believe that our continued success in a rapidly evolving environment hinges on our ability to develop strategies where both industry and society benefit. This means: delivering medical solutions and ensuring broad access to them, providing a rewarding workplace, being a trustworthy partner and supporting the communities in which we operate.

For this reason, sustainability is integrated and integral into the way we do our business. It's in our purpose statement, anchored in our corporate principles and forms the foundation of our business model. We address our economic, social and environmental challenges holistically to create long-term value. If we are successful in delivering innovation to patients, then we create value for all other stakeholders too.

#### **Commitments**

Roche is committed to adhere to the following standards which have their basis in the Roche Corporate Principles:

##### ***Service to Patients and Customers***

A prime objective of Roche is to meet patients' and customers' needs for high-quality products and services. This implies identifying and solving their problems and anticipating their future needs by maintaining close contacts with them and listening to what they say. Roche's commitment includes full respect for patients' individual rights.

##### ***Respect for the Individuals***

Roche believes that the success of the company depends on the combined talents and performance of dedicated employees. For this reason, we want:



- to build respect for the individual into all our work by ensuring that all members of the organisation understand their responsibility to respect each other's rights and dignity;
- our people to develop their talents and make optimal use of their abilities and potential and to encourage
- information-sharing and open dialogue;
- to provide recognition based on performance and contribution to Roche's success;
- to promote diversity and equal opportunities;
- everyone in the organization to work under optimal conditions of health and safety, comprising health protection, health promotion, technical safety and security

### ***Commitment to Responsibility***

We want to meet high standards of performance and corporate responsibility in all our activities and we apply our Corporate Principles in our dealings with business partners. We are committed to selecting, developing and promoting employees and managers with self-drive and empathy who:

- combine professional competence with a leadership style that motivates people to high performance;
- have an open mind and a sense of urgency, understand the needs of the company and have the courage to question conventional wisdom;
- have the flexibility required to broaden their experience;
- live these corporate principles in their decisions and actions.

### ***Commitment to Performance***

Roche aims to continuously create value for its stakeholders and to achieve sustainable, high profitability. Roche does this in order to maintain its commitment to research, to ensure its growth and independence, to provide employment opportunities, to cover risks and to pay an attractive return on invested capital.

### ***Commitment to Society***

Roche wants to maintain high ethical and social standards in its business dealings; in its approach to medical science; in its efforts to protect the environment; and to ensure good citizenship. Roche maintains these standards by adhering to local, national and international laws; by co-operating with authorities and by proactively communicating with the public. Roche recognizes the need to work in partnership with our stakeholders and regularly seek their views and taking them into account. Roche fully supports and implements the 'Protect, Respect, Remedy' approach from the UN Human Rights Council's Ruggie Framework. Roche is equally committed to support the UN Sustainability Development Goals (SDGs) within the sphere of our business strategy and to comply with the 10 UN Global Compact Principles, the Universal Declaration of Human Rights; and the fundamental Labour Rights as stipulated by the International Labour Organization's Declaration on Fundamental Principles and Rights at Work.

### ***Commitment to the Environment***

As part of our commitment towards sustainable development Roche proactively seeks to employ new, more sustainable technologies and processes and to minimize our impact on the environment. Prevention instead of end-of-pipe solutions, integrated process optimization and inherent safety are key elements of environmental



and safety management. We set ambitious environmental goals, based on state-of-the-art technology and current developments in society, and monitor our achievements with a comprehensive set of key performance indicators, which we transparently communicate to the public.

We professionally manage and reduce our emissions (air, water, soil), waste (according to the principle avoid, re-use, recycle, properly dispose with no landfilling of chemical waste), chemicals (substitute by less problematic materials, eliminate chemicals of very high concern), packaging materials and use of resources (including energy and water).

We supervise all our operations and our business partners for compliance with environmental and safety standards through regular audits. Expert support is given to the operations and business partners through comprehensive action plans to close gaps identified during these audits.

#### ***Commitment to Innovation and Continuous Improvement***

Innovation across all aspects of Roche's business is the key to Roche's success. Roche is committed to benchmarking its principles and achievements against the industry and best practice; this includes transparent reporting. Roche will continue to put in place directives and processes that enable Roche to implement each of its Corporate Principles.

#### **Realization**

As sustainability is an integral way of how we do business, all Roche operations are required to integrate sustainability into their work. The integrated approach means that no single department is responsible for managing sustainability. The Corporate Sustainability Committee provides the necessary coordination within this CR management approach. Roche's own corporate standards often go far beyond the minimum standard as required by law as we believe we have a responsibility to improve the social and environmental conditions in which we operate. Risks, including sustainability risks, are professionally managed. Risks and opportunities are identified, assessed for their materiality and necessary measures to address them are defined and implemented where possible.

#### **Ratings for Investors**

Roche is regarded as one of the most sustainable and highly responsible companies in our industry. In 2018, the Dow Jones Sustainability Index named Roche as Group Leader in sustainability within the Pharmaceuticals, Biotechnology & Life Sciences Industry for the tenth consecutive year. In addition, Roche's sustainability commitments, initiatives and performance are also acknowledged by other indices and rating agencies, such as FTSE4Good, ISS-Oekom, Carbon Disclosure Project and many others.

#### **Initiatives and additional material**

For Roche's ongoing activities around Roche's commitments to sustainability, please consult the Roche Group Code of Conduct, the Annual Report of Roche Holding Limited (including the Independent Assurance Report of PricewaterhouseCoopers Ltd and the Global Reporting Initiative check), the Roche's Position Papers on Corporate Responsibility topics, the Roche Policy and Guidelines on Safety, Security, Health and Environmental Protection, the Roche Supplier Code of Conduct, the Roche social programs and humanitarian aids, the Key Performance Indicators of the Roche Group, along with many other publications and material which can be found on the Roche Corporate website [www.roche.com](http://www.roche.com).



For further information, please contact the undersigned.

Basel, October 4, 2018

**F. Hoffmann-La Roche Ltd**

A handwritten signature in black ink, appearing to read "Urs Jaisli", written over a horizontal line.

Dr. Urs Jaisli  
Head of the Corporate Sustainability  
Committee

A handwritten signature in blue ink, appearing to read "Sandra Klemm", written over a horizontal line.

Sandra Klemm  
Secretary to the Corporate Sustainability  
Committee