

Roche UK's Modern Slavery Statement

This statement has been published in accordance with the Modern Slavery Act 2015. It sets out the steps that Roche Products Limited, Roche Diagnostics Limited and Roche Diabetes Care Limited have taken during the financial year ending 31 December 2016, and will continue to take, to prevent modern slavery in their businesses and supply chains. Unless otherwise specified, all references to Roche herein are references to the Roche UK entities and Roche globally.



Roche researches areas of greatest unmet need. We aim for our medicines to be either 1st or best in class

Introduction to Roche

F Hoffmann-La Roche Limited was founded in Switzerland in 1896 and has had a presence in the United Kingdom since 1908. Headquartered in Basel, Switzerland Roche now operates in over 100 countries with over 91,000 employees around the world.

Roche plays a significant role in not only driving medical advancement but also in offering a broad and innovative portfolio of products to patients, physicians, researchers, hospitals and laboratories.

At Roche we are committed to meeting high ethical standards and complying with all applicable local, national and international laws wherever we do business. Ethical behaviour in business is essential to creating and maintaining a healthy and just environment for all. For that reason, we maintain rigorous internal processes to ensure that our employees adhere to the laws, regulations and industry codes of conduct that support good business practices.

Modern Slavery

Roche fully endorses the Modern Slavery Act 2015 in order to eliminate all forms of human slavery, human trafficking and forced labour ("Modern Slavery"). Roche acknowledges the importance of companies working together to tackle such issues in our society and around the world. Roche condemns all forms of Modern Slavery including child, forced or compulsory labour. It is acknowledged by Roche and its staff that we all have a responsibility to be aware of Modern Slavery. Employees and business partners are requested to speak up and report incidents if they believe that someone has done, is doing, or may be about to do something that violates this principle.

Policies and contractual controls

Roche supports and respects human rights and has implemented the "Protect, Respect, Remedy" approach from the UN Human Rights Council's Ruggie Framework. We are equally committed to complying with the 10 UN Global Compact Principles; the Universal Declaration of Human Rights; and the Fundamental Labour Rights stipulated by the International Labour Organization's Declaration on Fundamental Principles and Rights at Work. This commitment is embodied in our Roche Code of Conduct, Roche Corporate Principles, the Roche Group Employment Policy, the Roche Supplier Code of Conduct as well as in our Roche Position on Respecting Human Rights.

Roche requires its business partners to comply with all applicable laws, regulations, industry codes and contractual terms as well as with generally accepted sustainability standards.

All transactions by Roche with third parties are made on the basis of quality, availability, service, suitability, sustainability and integrity. Roche is committed to these principals and requires its suppliers to acknowledge and adhere to the principals embodied in its Supplier Code of Conduct and to ensure that their own suppliers will also comply with these principals. The Roche Supplier Code of Conduct comprises the principles of the Pharmaceutical Supply Chain Initiative (PSCI):

- **Ethics:** Suppliers shall conduct their business in an ethical manner and act with integrity.
- **Labour:** Suppliers shall be committed to uphold the human rights of workers and to treat them with dignity and respect.
- **Health and Safety:** Suppliers shall provide a safe and healthy working environment, including for any company-provided living quarters.
- **Environment:** Suppliers shall operate in an environmentally responsible and efficient manner, and they shall minimise adverse impacts on the environment.
- **Management Systems:** Suppliers shall use management systems to facilitate continual improvement and compliance with the expectations of these principals.

Roche also has in place Compliance Officers in each country for issues relating to the implementation of and the compliance with the Roche Group Code of Conduct.



£6.6bn invested Globally in R&D in 2015.



#1 Investor in healthcare R&D



Included in World Health Organization Model List of Essential Medicines. Antibiotics/ Anti-malarials/ Chemotherapy



324,000 patients enrolled in clinical trials



91,747 Employees across over 100 countries



Founded in Switzerland 1896

Due Diligence of suppliers in the Roche UK supply chain

At Roche we understand that there is a potential exposure to Modern Slavery when we are purchasing goods and services from third parties. In the past year we have taken the opportunity to focus on the topic of Modern Slavery within our UK business operations and have reviewed the goods and services purchased from our third party suppliers. Each Roche UK entity has been completing its own due diligence by reviewing its supply chain and contacting existing suppliers where appropriate to request information regarding their businesses, their position on the Modern Slavery Act 2015 and how they intend to eliminate Modern Slavery within their business and their own supply chains.

Assessment of Modern Slavery Risk

We have mapped our supply chains to assess particular industry/sector and geographical risk. These assessments cover the entire scope of our UK businesses.

Where we have identified suppliers that operate in a potentially higher risk area we are obtaining copies of their policies and/or position relating to Modern Slavery. In some instances we are requiring suppliers to enter into additional contractual arrangements to ensure that the services provided to Roche meet the requirements and standards expected from Roche in the UK.

We are also reminding our key suppliers of the Roche Supplier Code of Conduct and of our expectations in relation to adherence with all ethical standards expected of Roche suppliers on a continuous basis regardless of the area they operate in to assist us in tackling the issue of Modern Slavery.

Modern Slavery Training

All employees at Roche are trained on the Roche Code of Conduct which covers topics such as Modern Slavery. In 2016 we took the opportunity to further raise awareness of Modern Slavery across our UK businesses. We developed UK wide training to inform all employees of the Modern Slavery Act, what Roche is doing to tackle the issue and how our employees can assist with the fight against Modern Slavery. We have also provided additional training to selected key staff in Modern Slavery.

Further steps taken by Roche globally to prevent Modern Slavery in our supply chains

In 2016 Roche conducted more than 1,000 audits of global and local suppliers and service providers. Based on a prior assessment of the potential risk associated with a supplier we performed audits in all spend categories and across all countries and industries we source from. Priority was given to high-risk industries and countries.

We transformed our supplier sustainability audits into assurance visits with the aim of fostering the relationship and creating mutual benefit. The main findings at suppliers related to quality and health and safety, while findings at service providers occurred primarily in quality, social and managerial areas.

The suppliers and service providers followed up on the findings from audits via agreed-upon corrective action plans, and we helped them with this. The degree of implementation of these actions was verified via follow-up audits. Roche collaborates on supplier audits with other pharmaceutical companies under the umbrella of the Pharmaceutical Supply Chain Initiative (PSCI), using a unified joint audit protocol. In 2016, 51 supplier audit reports and self-assessment questionnaires were shared under this protocol, up from 32 in 2015.

Roche and the Modern Slavery Act

Roche will continue to update its policies and procedures, raise awareness on this important topic and look at how it can address the issue of Modern Slavery within its business and supply chain. We will continue to work at maintaining appropriate safeguards against any mistreatment of persons involved in our supply chain or own business.

This statement has been approved by the General Managers of Roche Products Limited, Roche Diagnostics Limited and Roche Diabetes Care Limited.

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