



Regulations

*on collaboration on issues of
industrial health protection
and environmental protection
at F. Hoffmann-La Roche Ltd*



Regulations

*on collaboration on issues of
industrial health protection
and environmental protection
at F. Hoffmann-La Roche Ltd*

Contents

1. Objective	3
2. Applicability	3
3. Glossary of abbreviations and terms	4
4. Legal framework	5
5. Responsibilities	6
5.1 Responsibilities of the employer	6
5.2 Responsibilities of supervisors	6
5.3 Responsibilities of employees	7
5.4 Responsibilities of employee representatives	7
6. Exercise of SHE participation rights by employees	8
7. Exercise of SHE participation rights by the CIHE	9
7.1 Purpose	9
7.2 Duties	9
7.3 Right to information; confidentiality	9
7.4 Composition of the CIHE	10
7.5 CIHE procedures	10
7.6 Training opportunities for CIHE members	11
8. Closing provision	12

1. Objective

Employees of F. Hoffmann-La Roche Ltd and other Roche Group companies located in Switzerland have legally protected employee participation rights with respect to matters of occupational safety and health protection. The *SHE Handbook* is a compilation and record of what has been accomplished to date to promote safety, health and environmental protection at the Basel/Kaiseraugst site and forms an integral part of the present Regulations. These Regulations specify company policies relating to the exercise of employee participation rights. Further, they specify the duties and powers of the Committee for Industrial Health Protection and Environmental Protection (CIHE).

2. Applicability

These Regulations apply to all persons employed by F. Hoffmann-La Roche Ltd at its Basel/Kaiseraugst site and to the employees of those other Roche Group companies in Switzerland specified by Management.

3. Glossary of abbreviations and terms

AKR	Roche Works Council, representing Roche employees covered by a collective bargaining agreement (German: <i>Arbeiterkommission Roche</i>)
ArG	Swiss Labour Act (German: <i>Arbeitsgesetz</i>)
ArGV3	3rd Legislative Directive relating to the Swiss Labour Act
AVR	Roche Employees Association (German: <i>Angestelltenverband Roche</i>)
CIHE	Committee for Industrial Health Protection and Environmental Protection
MG	Swiss Employee Participation Act (German: <i>Mitwirkungsgesetz</i>)
SHE	Safety, health and environmental protection
UVG	Swiss Accident Insurance Act (German: <i>Unfallversicherungsgesetz</i>)
VUV	Legislative directive on preventing accidents and occupational diseases (German: <i>Verordnung über die Verhütung von Unfällen und Berufskrankheiten</i>)
Right to be heard	The right to present one's concerns or proposals, either orally or in writing, to a decision-maker before a decision is made
Right to be informed	The right to be informed in a timely manner about matters relating to industrial health protection and environmental protection
Industrial health protection	Encompasses all facets of health protection, occupational safety, industrial hygiene and occupational medicine at the Basel site* and the other sites to which these Regulations apply
Environmental protection	Environmentally sound work and production policies and practices at the Basel site* and the other sites to which these Regulations apply
SHE Handbook	Compilation of policies and directives issued at the Basel site* with respect to industrial safety, site security, health protection, environmental protection and risk management
Management	For the purpose of these Regulations, "management" refers to the head of the Basel Site*

*As used here, the designation "Basel site" includes the facilities in Kaiseraugst, which are therefore not mentioned separately.

4. Legal framework

Employee participation rights in matters relating to occupational safety and health protection are governed in particular by the following legislation:

- ArG Art. 6 Duties of employers and employees
- ArGV3 Art. 5, 6, 7 Information, hearings, responsibilities
- MG Art. 10 Participation rights in matters of occupational safety and health protection covered by Art. 82 UVG and Art. 48 ArG
- UVG Art. 82 Preventing occupational accidents and diseases
- VUV Art. 6, 6a Information and consultation rights

For those employees wishing to familiarise themselves more closely with the above legislation, copies are on file in the secretary's offices of the following departments/organisations: PSU, AVR, AKR, Corporate Law (CL).

5. Responsibilities

5.1 Responsibilities of the employer

F. Hoffmann-La Roche Ltd (“Roche”) is responsible for designing jobs and work processes so as to adequately address safety needs, and for providing effective engineering safeguards and controls and protective equipment. Workplaces shall be designed so as not expose employees to health hazards. All employees, including contractor employees working on the Roche site, shall receive suitable guidance on relevant SHE measures. For work done on the Roche site, Roche shall issue safety rules and requirements specifically addressing risks present on the site. Outside companies are required to instruct temporary staff or subcontractors of applicable SHE directives in force on the Roche site and to ensure that they comply in full with all such requirements. Outside companies are further required to ensure that their temporary staff and subcontractors are informed about what to do in the event of an incident or accident. Roche shall be entitled to conduct checks at any time to verify that outside companies working on the Roche site are complying with all applicable SHE measures. Neither this right nor any checks actually conducted shall be construed as imposing a joint liability on Roche, nor shall they in any way relieve outside companies of their responsibility to ensure compliance with applicable SHE measures.

5.2 Responsibilities of supervisors

Within the scope of their positions, managers and supervisors at all levels of the organisation must in particular:

- carefully select the employees working under them and assign these employees duties and functions suited to their education, training and skills
- instruct employees effectively and appropriately about relevant safety regulations
- effectively and appropriately monitor compliance with safety requirements
- enlist employees’ support and assistance in SHE field

- act promptly and appropriately on employees' ideas and suggestions for improvements in relation to SHE and on employee reports of identified problems or deficiencies in these areas
- proactively contribute ideas for and assist in preventing accidents, incidents and environmental damage

5.3 Responsibilities of employees

Non-managerial staff are obligated in particular:

- to follow the directives/instructions issued by the employer and by their managers/supervisors regarding safety measures and protective devices and equipment
- to be cognizant of and comply with the safety procedures relevant to their work
- to consistently use the personal protective equipment issued to them
- to act promptly to correct problems or deficiencies posing a safety hazard, or alternatively to report such problems or deficiencies to their managers/supervisors
- to proactively contribute ideas for and assist in preventing accidents, incidents and environmental damage

5.4 Responsibilities of employee representatives

The organisations representing employees exercise a number of roles in relation to SHE. In particular:

- Insofar as their resources allow, they proactively contribute ideas and other support for activities aimed at preventing accidents, incidents and environmental damage; they may also be involved in efforts to prevent accidents off the job.
- They assist in explaining SHE issues and concerns to employees.
- They support SHE measures in a variety of ways.
- They designate qualified members to serve on the CIHE and assist it in finding appropriate solutions for SHE problems.

6. Exercise of SHE participation rights by employees

Employees should direct ideas, suggestions and reports of identified deficiencies relating to SHE to their managers or supervisors, provided the matter in question falls within line management's competence.

The manager or supervisor shall take the matter under review, act on it promptly and brief the employee on the decision taken or the progress being made towards reaching a decision.

If an employee does not agree with a manager's or supervisor's decision, they can present the matter to a member of the CIHE.

Employees wishing to raise a SHE matter falling outside the competence of line management may do so at any time by presenting it to a member of the CIHE: The matter will be then dealt with at a CIHE meeting.

7. Exercise of SHE participation rights by the CIHE

7.1 Purpose

The purpose of the CIHE is:

- to contribute to steadily promoting awareness of industrial health protection and environmental protection among all employees
- to secure the participation rights of employee representatives in matters relating to industrial health protection

7.2 Duties

The CIHE's participatory roles include in particular:

- assisting in drafting and implementing guidelines and directives relating to industrial health protection and environmental protection
- laying the groundwork for Management decisions on proposals for improving industrial health protection and environmental protection
- reviewing and acting on matters brought before the CIHE by its members

7.3 Right to information; confidentiality

CIHE members are entitled to be informed of all facts with a material bearing on the performance of their duties, provided this entails no breach of medical confidentiality by the Medical Service.

Whenever the situation warrants, CIHE members are entitled to familiarise themselves first-hand with issues under discussion.

If they so request, CIHE members have a right to be appropriately involved in or consulted on investigations and plant visits conducted by the authorities. The CIHE has established a procedure that enables employee representatives to exercise this right effectively.

CIHE members must not disclose any confidential personal or technical information that comes to their knowledge in the performance of their duties.

7.4 Composition of the CIHE

The CIHE comprises:

- A Management-appointed chairperson
- One member for each of the following:
 - Occupational Safety
 - Occupational/Industrial Hygiene
 - Medical Service
 - Environmental Protection
 - Chemical Production
 - Engineering
 - Human Resources
 - Legal Department
- And four members each from
 - The AVR
 - The AKR

Any member who is unable to attend a CIHE meeting shall ensure that a qualified individual attends in his or her place.

7.5 CIHE procedures

The CIHE shall meet as needed and as a rule once quarterly. The results of CIHE meetings shall be recorded in minutes.

The members shall discharge their committee duties in good faith.

The CIHE shall submit its proposals and requests to Management. If the members fail to reach a consensus, the members in the minority as well as those in the majority shall be entitled to present their views to Management.

The CIHE may form subcommittees to deal with specific issues. Like the full CIHE itself, such subcommittees may consult specialists or the relevant managers or supervisors at any time for guidance or information.

The CIHE has no authority to issue directives or to allocate funding.

Management shall respond to all requests submitted to it by the CIHE and, whenever it turns down a request, shall give its reasons for doing so.

If the employee representatives on the CIHE do not agree with a Management decision, the AVR and AKR shall have an opportunity to raise the matter again with Management and request that the decision be reconsidered.

7.6 Training opportunities for CIHE members

CIHE members shall receive pertinent training on an ongoing basis. The CIHE Chairman shall prepare an annual training programme for all CIHE members.

CIHE members employed under a collective employment contract shall be given paid leave to attend approved training courses and events. Such leave shall not be deducted from members' contractual leave entitlements.

8. Closing provision

These Regulations were drafted in collaboration with the employee representation organisations named below and with the members of the CIHE. They replace the CIHE Regulations dated 1 May 1999 and are effective from 1 January 2007.

Basel, 1 January 2007

Roche Employees Association

R. Frank



E. Schaffter



Roche Works Council

W. Stahl



H. Käppeli



F. Hoffmann-La Roche Ltd

M.M. Baltisberger



B. Weissen



**F. Hoffmann-La Roche Ltd
Pharma Site Basel
Safety, Health and
Environmental Protection
4070 Basel**

© January 2007

2000797