

Work rules

F. Hoffmann-La Roche Ltd, Basel

This is an English transcript of the German original. In case of contradictions, the German version abides.

1. Purpose

These work rules outline important general regulations governing conduct on the F. Hoffman-La Roche Ltd ("Roche") site and in work areas. Their aim is to facilitate organized, safe, and efficient operations for all users. The site rules do not replace any other internal regulations or SOPs, but rather supplement them. The work rules meet the requirements pursuant to Article 37 of the Swiss Employment Act (*Arbeitsgesetz*).

2. Scope

These work rules apply to all individuals (employees, contractors from external companies and visitors) in all areas of the Basel and Kaiseraugst sites, including the associated off-site locations of F. Hoffmann-La Roche Ltd (the "site" or "Roche site").

3. Due diligence

- All individuals working in or on behalf of the company undertake to perform their assigned tasks conscientiously, and to handle all materials and operating equipment such as machinery and tools with care. They are required to keep both the indoor and outdoor areas of the site in good order, and to conserve their use of water, power and other resources.
- Within their own work areas, all Roche employees and other users have a personal responsibility for matters relating to safety, health and environmental protection (SHE) in accordance with their own knowledge, skills and experience.

4. Roche ID (badge)

- Any person accessing the site will require authorization in the form of a personal ID badge issued by Roche, which must be visibly carried. Improper use of Roche ID badges will have legal consequences.
- If a badge is lost or misplaced, Site Security must be informed immediately (tel. 80100 or at the nearest staffed gatehouse/reception desk). If a Roche employee loses or misplaces their badge, they must also contact the HR Service Center (tel. 70444).
- ID badges issued to visitors and employees of external companies for short-term stays are made of paper and are valid only within the period specified on the badge.
- If employees of external companies return every day for more than four weeks, a Roche employee must apply for an external contractor ID for them.

5. Access

- The Roche ID badge allows the holder to access the site and in some cases also specific buildings or rooms.
- As unknown persons may not be authorized to access an area, their intentions must be ascertained.

- External service providers who need to access the site outside of normal working hours (i.e. work days between 7.00 p.m. and 6.00 a.m., weekends and public holidays) will need an external company permit (*Fremdfirmenbewilligung*) in addition to the Roche badge.
- If external service providers do not have the required basic SHE training, they must be met at the gatehouse/reception desk and accompanied at all times while on Roche premises.
- Visitors and family members must be registered using Site Security's visitor system on the intranet, and will require a visitor's ID. Family members have restricted access to the site; on normal work days from 7.00 a.m. to 7.00 p.m. Roche employees are responsible for ensuring that any external service providers, visitors and guests they invite conduct themselves appropriately while on site. Children under the age of 16 must be supervised at all times by the accompanying adult(s).
- The site boundaries, all access points, incl. swing gates, and some other areas are under 24-hour video surveillance.
- Vehicles entering or leaving the site can be inspected by Site Security. Site Security is also authorized to perform checks on persons and to inspect materials.

6. Transportation and rules of conduct for traffic on site

- As a basic principle, the general Swiss traffic regulations apply on site (right of way regulations, vehicle lighting, etc.), with a usual speed limit of 20km/hour. As space on site for the many different transport users is extremely limited, it is imperative that users employ full attention and mutual consideration. Use of headphones and cell phones while using transport routes is strongly discouraged. Particular caution is advised in confusing traffic situations (forklift trucks, heavy traffic or work sites).
- Marked walkways are to be used where available.
- Traffic routes, rescue routes and escape routes must be kept clear at all times, as must entrances and exits.
- Barriers erected due to incidents, firefighting operations, construction work or special works must be respected by all transport users. Instructions from authorized security and supervisory personnel must be followed immediately.
- Parking of private vehicles (cars, motorcycles) is subject to the car park rules. Motorcycles and bicycles should be parked in the spaces provided for them. All Roche employees are asked to refrain from using any of the public parking spaces in the surrounding area.
- Mobility devices that are not permitted on public roads (e.g. Segways) are not permitted on the Roche site either.
- Vehicles and mobility devices may not be used inside buildings. In cases where this is possible and necessary for operational reasons, this exemption must be clearly indicated.
- Anyone using inline skates, roller skates or similar means of transport to get to work may traverse the site to go directly to their work area or to the cloakroom in order to take them off/deposit them there. They may not use either escalators or normal stairways while using such items.
- Site Security is authorized to prohibit the use of any means of transport in an individual case or as a general policy, with no explanation required.
- Roche bears no liability for damage to or theft of vehicles or mobility devices of any kind.

7. Health protection, safety and emergencies

- Maintaining physical and mental health and preventing accidents are top priorities for Roche and its employees. Roche therefore strives to furnish its employees with workplaces that provide the best possible protection for their health. This includes avoiding unnecessary, disruptive influences from substances like dusts, gases, vapors, biological materials, etc., and from physical agents such as radiation, noise, vibrations, etc. Roche likewise endeavors to provide workplaces with good ergonomics and pleasant indoor climate.

Employees undertake to support Roche in implementing all health protection and accident prevention measures.

- Employees must comply with all Roche directives relating to health protection and workplace safety, and follow the generally accepted rules. In particular, they must use the required equipment for personal protection in accordance with the instructions and may not remove or make changes to any protective equipment without permission from the relevant manager.
- As a basic principle, no task may be begun if it cannot be guaranteed to be executed safely.
- Line managers are responsible for communicating, enforcing, and monitoring correct conduct, appropriate use of systems and equipment, and safety regulations.
- In case of an incident, accident or medical emergency, employees should alert the Alarm Center immediately (emergency call via internal tel. 112/from any telephone in Basel 061 688 0 112, in Kaiseraugst 061 687 0 112) to ensure the immediate mobilization of required emergency personnel.
- Instructions from emergency personnel (fire department, emergency response team, Site Security) must be followed at all times; during incidents, they have the authority to issue orders.
- Information on how to behave in an emergency situation is provided by the safety instructions on the “112 emergency call” posters and the intranet.
- Free, unobstructed access to safety installations such as emergency exits, fire extinguisher points and fire alarms must be ensured at all times. Escape routes must be kept clear at all times. Fire doors must not be obstructed.
- Interior doors should be closed at the end of the working day in order to impede the spread of fire or smoke.
- Windows should be closed or secured at the end of the working day and in the event of longer absences from the workplace in order to prevent damage from bad weather/contain the spread of any fires.

8. Protection of personality rights

- Discrimination against employees based on personal characteristics, preferences or sexual orientation will not be tolerated under any circumstances. Likewise, sexual harassment or workplace bullying will on no account be tolerated. Anyone observing such incidents should report them to the line manager, the local Compliance Officer or HR. Affected employees should contact a trusted person of their choice. All employees must comply with the provisions of the Roche Code of Conduct.

9. Work area, meeting rooms

- Roche employees' work areas are provided and equipped by Roche.
- Confidential documents must be kept locked up.
- Electronic media must be protected from unauthorized access.
- Use of coffee machines and other household appliances (e.g. kettles) will depend on certain conditions such as space constraints, fireproof surfaces and cut-out mechanisms. The user must ensure that such appliances are kept clean and tidy.
- Hot meals should be prepared in the employees' respective kitchenettes/break rooms.
- Rooms that are available to all Roche employees, such as meeting rooms and video conference rooms, must be left in a clean and tidy state after use. In particular, flip charts and white boards should be cleaned, trash disposed of, and dishes tidied away.

10. Waste disposal

Employees are responsible for waste separation. Waste must be disposed of in the designated containers in accordance with the Roche waste disposal plan.

11. Alcohol, drugs, medication

- No one may enter the site in a physical or mental condition in which they could represent a danger to themselves or others; this applies in particular to excessive consumption of alcohol above and beyond socially acceptable limits (receptions, celebrations, etc.), of drugs, intoxicants or strong medication. It is forbidden to perform any tasks involving risk while under the influence of such substances.
- If an individual is in a condition rendering them unfit to perform their duties or a danger to operating safety, they must be temporarily excluded from work by their respective manager.

12. Smoking

Smoking is generally prohibited throughout the site. Smoking is only permitted in the “smokers’ pavilions” or smoking areas provided for this purpose. This also applies to e-cigarettes.

13. Other rules of conduct

- Various *safety signs* are in place in relevant locations across the site (e.g. bans, warnings, directives). These signs must be strictly heeded; they apply to anyone entering the areas where the signs are displayed.
- It is forbidden to *take photographs or video footage* – including with smart phones – on the site premises.
 - Exceptions must be authorized by Site Security or must be clearly relevant to the work to be done (e.g. photo protocols of flip charts/white board after meetings).
 - Other exceptions to this ban are pictures/footage taken in recreation rooms, dining rooms (e.g. during long-service celebrations).
- Employees noticing any *faults with or damage to infrastructure* must report these immediately to the Technical Maintenance Service Desk Basel (Basel tel. 88666; Kaiseraugst tel. 72244) so that they can be resolved. Any *situations that impair safety* must be immediately rectified by the employees. If they are not empowered or not in a position to do so, they must immediately report the defect to their line manager.
- The formalized rules on *removing materials from the site and on the use of surplus and borrowed items* must be observed.
- *Found items* should be handed in to the Lost and Found Office (Building 001 00.N457.01, or Building 221/3) or to the nearest staffed gatehouse/reception desk.
- It is forbidden to enter offices, lecture halls or catering areas in *work clothing contaminated* by working materials. Such items must be exchanged for clean clothing immediately.

14. Sanctions

In the event of violations of these work rules and other binding rules, Roche can institute legal sanctions.

15. Entry into Force

These work rules (version 1.0) enter into force on July 1, 2017 and are valid for an indefinite period.