

# Global Reporting Initiative (GRI)

## Content Index 2010

With this years' Annual Report we continue our approach of aligning our sustainability reporting to the guidelines of the Global Reporting Initiative (GRI).

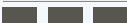
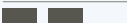
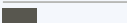
As for the last three Annual Reports, Roche is of the opinion that the A+ level of the GRI G3 guidelines applies to its Annual Report 2010. This was checked with and confirmed by the GRI.

The GRI is a reporting framework for organizations to use as the basis for communicating their sustain-

ability performance. It aims to provide a consistent and transparent approach to sustainability reporting. The GRI G3 guidelines are voluntary and used by organisations to report on the economic, environmental, and social performance of their business activities.

We firmly believe that transparent reporting helps us improve our business. We are committed to communicate relevant, clear, balanced and accurate information to our stakeholders. This GRI content index has been designed with this in mind.


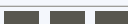

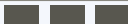
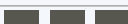
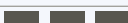


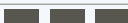
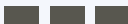
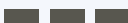

### Legend:

	We report against this indicator
	We partially report against this indicator
	We do not report against this indicator



C = Core Performance Indicator

A = Additional Performance Indicator

	Indicator	Reporting status	Where to find information/remarks
<b>1 Strategy and Analysis</b>			
C 1.1	Statement from the most senior decision maker of the organization (e.g., CEO, chair, or equivalent senior position) about the relevance of sustainability to the organization and its strategy		Business Report 2010, Pages 4–11 <a href="http://www.roche.com/about_roche/at_a_glance">www.roche.com/about_roche/at_a_glance</a> <a href="http://www.roche.com/corporate_responsibility">www.roche.com/corporate_responsibility</a> <a href="http://www.roche.com/principles">www.roche.com/principles</a>
C 1.2	Description of key impacts, risks, and opportunities		Business Report 2010, Pages 13–23, 125–132 <a href="http://www.roche.com/risk_management_and_compliance">www.roche.com/risk_management_and_compliance</a>
<b>2 Profile</b>			
<b>Organisational Profile</b>			
C 2.1	Name of the organisation		Business Report 2010, Page 1 Finance Report 2010, Page 4
C 2.2	Primary brands, products, and/or services		Business Report 2010, Pages 30–31, 60–61 Finance Report 2010, Pages 8–11, 15–16 <a href="http://www.roche.com/pipeline">www.roche.com/pipeline</a> <a href="http://www.roche.com/products">www.roche.com/products</a>
C 2.3	Operational structure of the organization, including main divisions, operating companies, subsidiaries, and joint ventures		Finance Report 2010, Pages 4–5, 132–134 <a href="http://www.roche.com/roche_worldwide">www.roche.com/roche_worldwide</a>
C 2.4	Location of organization's headquarters		Business Report 2010, Inside back cover Finance Report 2010, Inside back cover <a href="http://www.roche.com/roche_worldwide">www.roche.com/roche_worldwide</a>
C 2.5	Number of countries where the organization operates, and names of countries with either major operations or that are specifically relevant to the sustainability issues covered in the report		Finance Report 2010, Pages 132–134 <a href="http://www.roche.com/roche_worldwide">www.roche.com/roche_worldwide</a>
C 2.6	Nature of ownership and legal form		Business Report 2010, Pages 86–87 Finance Report 2010, Pages 153–154
C 2.7	Markets served (including geographic breakdown, sectors served, and types of customers/beneficiaries)		Business Report 2010, Pages 26, 58 Finance Report 2010, Pages 10, 17, 132–134
2.8	Scale of the reporting organisation, including:		
C	• Number of employees		Business Report 2010, Inside cover, Page 121 <a href="http://www.roche.com/roche_worldwide">www.roche.com/roche_worldwide</a>
C	• Net sales (for private sector organizations) or net revenues (for public sector organizations)		Business Report 2010, Inside cover Finance Report 2010, Pages 2–4
C	• Total capitalization broken down in terms of debt and equity (for private sector organizations)		Finance Report 2010, Pages 26, 37, 152

	Indicator	Reporting status	Where to find information/remarks
C	• Quantity of products or services provided	■	Due to the highly regulated nature of our business, all products are coded and tracked through our sales channels. We keep extensive records of items sold however, we do not measure performance against the number sold, so do not report these figures externally
A	• Total assets	■ ■ ■	Finance Report 2010, Pages 26, 37, 152
A	• Beneficial ownership (including identity and percentage of ownership of largest shareholders)	■ ■ ■	Business Report 2010, Pages 86–90, 100
A	• employees by country/region	■ ■ ■	Finance Report 2010, Page 153–154 Business Report 2010, Page 121
C 2.9	Significant changes during the reporting period regarding size, structure, or ownership including, including:	■ ■ ■	Finance Report 2010, Pages 11, 38–40, 44
C	• The location of, or changes in operations, including facility openings, closings, and expansions	■ ■ ■	Business Report 2010, Page 28–29 Finance Report 2010, Pages 5, 13, 51, 70, 71
C	• Changes in the share capital structure and other operations (for private sector organizations)	■ ■ ■	Finance Report 2010, Pages 114–117, 129–130
C 2.10	Awards received in the reporting period	■ ■ ■	Business Report 2010, Pages 6, 104, 108, 116, 118

### 3 Report Parameters

#### Report Profile

C 3.1	Reporting period (e.g., fiscal/calendar year) for information provided	■ ■ ■	Business Report 2010, Pages 139 Finance Report 2010, Pages 135–137
C 3.2	Date of most recent previous report (if any)	■ ■ ■	<a href="http://www.roche.com/annual_reports">www.roche.com/annual_reports</a>
C 3.3	Reporting cycle (annual, biennial, etc.)	■ ■ ■	<a href="http://www.roche.com/annual_reports">www.roche.com/annual_reports</a>
C 3.4	Contact point for questions regarding the report or its contents	■ ■ ■	Business Report 2010, Inside back cover

#### Report Scope and Boundary

C 3.5	Process for defining report content, including:		
C	• Determining materiality	■ ■ ■	Business Report 2010, Page 103
C	• Prioritizing topics within the report; and	■ ■ ■	Business Report 2010, Pages 4–11, 103 Finance Report 2010, Page 121
C	• Identifying stakeholders the organization expects to use the report	■ ■ ■	Business Report 2010, Page 104 <a href="http://www.roche.com/stakeholder_dialogue">www.roche.com/stakeholder_dialogue</a>
C 3.6	Boundary of the report (e.g., countries, divisions, subsidiaries, leased facilities, joint ventures, suppliers)	■ ■ ■	Finance Report 2010, Pages 40, 132–134
C 3.7	State any specific limitations on the scope or boundary of the report	■ ■ ■	Finance Report 2010, Pages 40–53 – Consolidation Policy: Page 40 – Scope of segments: Page 41 – Scope of cost items: Pages 42–43 – Fair value: Page 47 – Management judgments in applying accounting policies: Page 50 – Key assumptions and sources of estimation uncertainty: Page 51 – Changes in accounting policies: Page 53
C 3.8	Basis for reporting on joint ventures, subsidiaries, leased facilities, outsourced operations, and other entities that can significantly affect comparability from period to period and/or between organizations	■ ■ ■	Finance Report 2010, Pages 40–53 – Consolidation Policy: Page 40 – Property, Plant and equipment : Page: 44 – Business Combinations: Page 45 – Financial Assets: Page 47
C 3.9	Data measurement techniques and the bases of calculations, including assumptions and techniques underlying estimations applied to the compilation of the Indicators and other information in the report	■ ■ ■	Finance Report 2010, Pages 40–53, 76–77 – Pension & Equity plans: Page 44 – Fair Values: Page 47 – Financial Assets: Page 47 – Debt & Taxation: Pages 48–49 – Management judgments in applying accounting policies: Page 50 – Key assumptions and sources of estimation uncertainty: Page 51
C 3.10	Explanation of the effect of any re-statements of information provided in earlier reports, and the reasons for such re-statement (e.g., mergers/acquisitions, change of base years/periods, nature of business, measurement methods)	■ ■ ■	Finance Report 2010, Pages 63–72 – Acquisitions 2010: Pages 63–65 – Global Restructuring Plans: Pages 69–72
C 3.11	Significant changes from previous reporting periods in the scope, boundary, or measurement methods applied in the report	■ ■ ■	Finance Report 2010, Pages 40–53 – Management judgments in applying accounting policies: Page 50 – Key assumptions and sources of estimation uncertainty: Page 51 – Changes in accounting policies: Page 53 – Restated income statement: Page 53

	Indicator	Reporting status	Where to find information/remarks
	<b>GRI Content Index</b>		
C 3.12	Table identifying the location of the Standard Disclosures in the report	■ ■ ■	<a href="http://www.roche.com/reporting_and_indices">www.roche.com/reporting_and_indices</a>
	<b>Assurance</b>		
C 3.13	Policy and current practice with regard to seeking external assurance for the report. If not included in the assurance report accompanying the sustainability report, explain the scope and basis of any external assurance provided. Also explain the relationship between the reporting organization and the assurance provider(s)	■ ■ ■	Business Report 2010, Pages 137–138
<b>4 Governance, Commitments, and Engagement</b>			
	<b>Governance</b>		
C 4.1	Governance structure of the organization, including committees under the highest governance body responsible for specific tasks, such as setting strategy or organizational oversight	■ ■ ■	Business Report 2010, Pages 81–85 <a href="http://www.roche.com/corporate_governance">www.roche.com/corporate_governance</a>
C 4.2	Indicate whether the Chair of the highest governance body is also an executive officer (and, if so, their function within the organization's management and the reasons for this arrangement)	■ ■ ■	Business Report 2010, Page 81 <a href="http://www.roche.com/corporate_governance">www.roche.com/corporate_governance</a>
C 4.3	For organizations that have a unitary board structure, state the number of members of the highest governance body that are independent and/or non-executive members	■ ■ ■	Business Report 2010, Pages 83, 87–89 <a href="http://www.roche.com/board_of_directors">www.roche.com/board_of_directors</a>
C 4.4	Mechanisms for shareholders and employees to provide recommendations or direction to the highest governance body	■ ■ ■	Business Report 2010, Page 87 <a href="http://www.roche.com/com_gov_stat08_e.pdf">www.roche.com/com_gov_stat08_e.pdf</a>
C 4.5	Linkage between compensation for members of the highest governance body, senior managers, and executives (including departure arrangements), and the organization's performance (including social and environmental performance)	■ ■ ■	Business Report 2010, Pages 91–99
C 4.6	Processes in place for the highest governance body to ensure conflicts of interest are avoided	■ ■ ■	Business Report 2010, Pages 87–90 <a href="http://www.roche.com/corporate_governance">www.roche.com/corporate_governance</a>
C 4.7	Process for determining the qualifications and expertise of the members of the highest governance body for guiding the organization's strategy on economic, environmental, and social topics	■ ■ ■	Business Report 2010, Page 87 <a href="http://www.roche.com/corporate_governance">www.roche.com/corporate_governance</a>
C 4.8	Internally developed statements of mission or values, codes of conduct, and principles relevant to economic, environmental, and social performance and the status of their implementation  Explain the degree to which these: • Are applied across the organization in different regions and department/units; and • Relate to internationally agreed standards	■ ■ ■	Business Report 2010, Inner cover page, Pages 2, 4–11, 105, 114, 115, 122, 124, 131 – Mission: Page 2 – Chairman's letter: Pages 4–7 – CEO letter: Pages 8–11 – Social: Value of Medicines: Page 105 – Social: People Strategy: Page 115 – Social: Society: Page 122 – Social: Responsible practices: Page 124 – Environmental: Page 131 <a href="http://www.roche.com/code_of_conduct">www.roche.com/code_of_conduct</a> <a href="http://www.roche.com/policies_guidelines_and_positions">www.roche.com/policies_guidelines_and_positions</a>
C 4.9	Procedures of the highest governance body for overseeing the organization's identification and management of economic, environmental, and social performance, including relevant risks and opportunities, and adherence or compliance with internationally agreed standards, codes of conduct, and principles (Include frequency with which the highest governance body assesses sustainability performance)	■ ■ ■	Business Report 2010, Pages 87–88, 103, 124–125 <a href="http://www.roche.com/corporate_governance">www.roche.com/corporate_governance</a> <a href="http://www.roche.com/corporate_governance/committees">www.roche.com/corporate_governance/committees</a> <a href="http://www.roche.com/bylaws08_82e.pdf">www.roche.com/bylaws08_82e.pdf</a> <a href="http://www.roche.com/csr_committees">www.roche.com/csr_committees</a>
C 4.10	Processes for evaluating the highest governance body's own performance, particularly with respect to economic, environmental, and social performance	■ ■ ■	Business Report 2010, Pages 91–93
	<b>Commitments to External Initiatives</b>		
C 4.11	Explanation of whether and how the precautionary approach or principle is addressed by the organization	■ ■ ■	Business Report 2010, Pages 137–138 Finance Report 2010, Pages 135–138
C 4.12	Externally developed economic, environmental, and social charters, principles, or other initiatives to which the organization subscribes or endorses	■ ■ ■	Business Report 2010, Pages 103, 138 <a href="http://www.roche.com/business_integrity_and_responsible_marketing">www.roche.com/business_integrity_and_responsible_marketing</a> <a href="http://www.roche.com/policies_guidelines_and_positions">www.roche.com/policies_guidelines_and_positions</a> <a href="http://www.roche.com/code_of_conduct">www.roche.com/code_of_conduct</a>

Indicator		Reporting status	Where to find information/remarks
C 4.13	Memberships in associations (such as industry associations) and/or national/international advocacy organizations in which the organization: <ul style="list-style-type: none"> <li>• Has positions in governance bodies;</li> <li>• Participates in projects or committees;</li> <li>• Provides substantive funding beyond routine membership dues; or</li> <li>• Views membership as strategic</li> </ul>	■ ■ ■	Business Report 2010, Pages 114, 129–130 <a href="http://www.roche.com/business_integrity_and_responsible_marketing">www.roche.com/business_integrity_and_responsible_marketing</a> <a href="http://www.roche.com/patients">www.roche.com/patients</a> <a href="http://www.roche.com/patient-groups/patient-groups-list">www.roche.com/patient-groups/patient-groups-list</a> <a href="http://www.roche.com/stakeholder_dialogue">www.roche.com/stakeholder_dialogue</a>
<b>Stakeholder Engagement</b>			
C 4.14	List of stakeholder groups engaged by the organization	■ ■ ■	Business Report 2010, Page 104 <a href="http://www.roche.com/stakeholder_dialogue">www.roche.com/stakeholder_dialogue</a>
C 4.15	Basis for identification and selection of stakeholders with whom to engage	■ ■ ■	Business Report 2010, Pages 103–104 <a href="http://www.roche.com/stakeholder_dialogue">www.roche.com/stakeholder_dialogue</a>
C 4.16	Approaches to stakeholder engagement, including frequency of engagement by type and by stakeholder group	■ ■	Business Report 2010, Pages 104, 129 <a href="http://www.roche.com/stakeholder_dialogue">www.roche.com/stakeholder_dialogue</a> <a href="http://careers.roche.com/en/Experienced.html">http://careers.roche.com/en/Experienced.html</a> <a href="http://www.roche.com/ir_agenda">www.roche.com/ir_agenda</a> <a href="http://www.roche.com/media">www.roche.com/media</a>
C 4.17	Key topics and concerns that have been raised through stakeholder engagement, and how the organization has responded to those key topics and concerns, including through its reporting	■ ■ ■	Business Report 2010, Pages 104, 124 <a href="http://www.roche.com/stakeholder_dialogue">www.roche.com/stakeholder_dialogue</a>
<b>5 Management Approach and Performance Indicators</b>			
<b>Economic Performance Indicators</b>			
<b>Disclosure on Management Approach</b>			Business Report 2010, Pages 2–23 <a href="http://www.roche.com/ceo_message">www.roche.com/ceo_message</a> <a href="http://www.roche.com/principles">www.roche.com/principles</a>
<b>Aspect: Economic Performance</b>			
C EC 1	Direct economic value generated and distributed, including revenues, operating costs, employee compensation, donations and other community investments, retained earnings, and payments to capital providers and governments	■ ■ ■	Business Report 2010, Inside cover Finance Report 2010, Pages 2–4, 34–39, 121–122 – Key Sustainability indicators: Inside Cover – Finance in Brief: Pages 2–4 – Consolidated Financial Statements: Pages 34–39 – Value of financial assets: Page 121–122
C EC 2	Financial implications and other risks and opportunities for the organization's activities due to climate change	■ ■ ■	Business Report 2010, Pages 133 <a href="http://www.roche.com/global_position_greenhouse_gases_climate_change.pdf">http://www.roche.com/global_position_greenhouse_gases_climate_change.pdf</a>
C EC 3	Coverage of the organization's defined benefit plan obligations	■ ■ ■	Finance Report 2010, Pages 73–78
C EC 4	Significant financial assistance received from government	■	Separate subsidies' aspects, such as grants, tax relieves and other types of financial benefits are included in the respective financial indicators, however the total sum of subsidies is not collected. Due to minor magnitude, this is immaterial to our business.
<b>Aspect: Market Presence</b>			
A EC 5	Range of ratios of standard entry level wage compared to local minimum wage at significant locations of operation	■	We benchmark remuneration levels at a country and regional level in order to offer competitive and attractive packages, however, we do not report externally this information. In line with the rest of the health-care industry we pay significantly above average salaries throughout all our locations.
C EC 6	Policy, practices, and proportion of spending on locally-based suppliers at significant locations of operation	■	Suppliers are chosen for quality and not geographical reasons due to the sensitivity of our products. Due to the high level of sophistication of our products and any material we source, it is for us not material to track how much of our procurement is spend on locally-based suppliers at significant locations.

Indicator		Reporting status	Where to find information/remarks
C EC 7	Procedures for local hiring and proportion of senior management hired from the local community at locations of significant operation	■ ■	Business Report 2010, Page 117–118 <a href="http://www.roche.com/employment_policy.pdf">www.roche.com/employment_policy.pdf</a> <a href="http://www.roche.com/employees">www.roche.com/employees</a> We do not fully report on this disclosure as it does not relate to our senior management development strategy. We consider international mobility a key asset in the professional development of future leaders (see Business Report 2010, Page 118). As such, local hiring is a crucial part of our diversity approach (see Business Report 2010, Page 116) but not a relevant part for assessing senior management or future senior leaders.
<b>Aspect: Indirect Economic Impacts</b>			
C EC 8	Development and impact of infrastructure investments and services provided primarily for public benefit through commercial, in kind, or pro bono engagement	■ ■ ■	Business Report 2010, Pages 122–123
A EC 9	Understanding and describing significant indirect economic impacts, including the extent of impacts	■ ■ ■	Business Report 2010, Inside cover Pages 98–109, 122–130
<b>Environmental Performance Indicators</b>			
<b>Disclosure on Management Approach</b>			Business Report 2010, Page 131 <a href="http://www.roche.com/corporate_responsibility/environment/she_management.htm">http://www.roche.com/corporate_responsibility/environment/she_management.htm</a>
<b>Aspect: Materials</b>			
C EN 1	Materials used by weight or volume	■	We do not report on this issue as the disclosure does not relate to our business because the production of individual pharmaceutical substances takes place batchwise using completely different syntheses in many different places and at different times. This figure does not have any continuity over time and as such does not value in the estimation of environmental performance.
C EN 2	Percentage of materials used that are recycled input materials	■	We do not report on this issue as the disclosure does not relate to our business because the production of individual pharmaceutical substances takes place batchwise using completely different syntheses in many different places and at different times. This figure does not have any continuity over time and as such does not value in the estimation of environmental performance.
C EN 3	Direct energy consumption by primary energy source	■ ■ ■	Business Report 2010, Page 133: Figures for total energy use Business Report 2010, Page 133: Breakdown into different types of primary energy carriers. Page 134 <a href="http://www.roche.com/sus_pos-energy.pdf">http://www.roche.com/sus_pos-energy.pdf</a>
C EN 4	Indirect energy consumption by primary source	■ ■ ■	Business Report 2010, Page 134 Figures for total energy use Business Report 2010, Page 133: Breakdown into different types of primary energy carriers. Page 134 <a href="http://www.roche.com/sus_pos-energy.pdf">http://www.roche.com/sus_pos-energy.pdf</a>
A EN 5	Energy saved due to conservation and efficiency improvements	■ ■ ■	Business Report 2010, Pages 133, 134 <a href="http://www.roche.com/sus_pos-energy.pdf">http://www.roche.com/sus_pos-energy.pdf</a>
A EN 6	Initiatives to provide energy-efficient or renewable energy based products and services, and reductions in energy requirements as a result of these initiatives	■ ■ ■	Business Report 2010, Pages 133, 134
A EN 7	Initiatives to reduce indirect energy consumption and reductions achieved	■ ■ ■	Business Report 2010, Pages 133, 134
<b>Aspect: Water</b>			
C EN 8	Total water withdrawal by source	■ ■ ■	Business Report 2010, Pages 135 <a href="http://www.roche.com/position_paper_on_water.pdf">http://www.roche.com/position_paper_on_water.pdf</a>
A EN 9	Water sources significantly affected by withdrawal of water	■	No sources have been identified that would be significantly affected. The pharmaceutical industry is not a major user of water although it depends on a sufficient supply.
A EN 10	Percentage and total volume of water recycled and reused	■ ■ ■	Business Report 2010, Pages 135

Indicator		Reporting status	Where to find information/remarks
<b>Aspect: Biodiversity</b>			
C EN 11	Location and size of land owned, leased, managed in, or adjacent to, protected areas and areas of high biodiversity value outside protected areas	■	All our sites require access to city infrastructure and are as such in urban environment. Therefore we don't operate facilities in protected areas or areas of high biodiversity values. The indicator is hence immaterial for Roche business. <a href="http://www.roche.com/global_statement_on_biodiversity.pdf">http://www.roche.com/global_statement_on_biodiversity.pdf</a>
C EN 12	Description of significant impacts of activities, products, and services on biodiversity in protected areas and areas of high biodiversity value outside protected areas	■ ■	Business Report 2010, Page 135, 136  Eco-toxicological data for intermediates and end products are summarized in safety data sheets and are handed out to interested stakeholders on request. For marketed products this documentation is accessible on the web at <a href="http://www.roche.com/corporate_responsibility/environment/safety_data_sheets.htm">http://www.roche.com/corporate_responsibility/environment/safety_data_sheets.htm</a> For non-commercial products and substances the information is used internally only due to its confidential nature.
A EN 13	Habitats protected or restored	■	Not relevant to Roche business
A EN 14	Strategies, current actions, and future plans for managing impacts on biodiversity	■	Not relevant to Roche business
A EN 15	Number of IUCN Red List species and national conservation list species with habitats in areas affected by operations, by level of extinction risk	■	Not relevant to Roche business
<b>Aspect: Emissions, Effluents, and Waste</b>			
C EN 16	Total direct and indirect greenhouse gas emissions by weight	■ ■ ■	Business Report 2010, Page 133, 134 <a href="http://www.roche.com/global_position_greenhouse_gases_climate_change.pdf">http://www.roche.com/global_position_greenhouse_gases_climate_change.pdf</a>
C EN 17	Other relevant indirect greenhouse gas emissions by weight	■ ■ ■	Business Report 2010, Page 133, 134 <a href="http://www.roche.com/global_position_greenhouse_gases_climate_change.pdf">http://www.roche.com/global_position_greenhouse_gases_climate_change.pdf</a>
A EN 18	Initiatives to reduce greenhouse gas emissions and reductions achieved	■ ■ ■	Business Report 2010, Pages 133, 134
C EN 19	Emissions of ozone-depleting substances by weight	■ ■ ■	Business Report 2010, Page 134
C EN 20	NO, SO, and other significant air emissions by type and weight	■ ■ ■	Business Report 2010, Pages 134 <a href="http://www.roche.com/fact_sheet_emissions_into_air.pdf">http://www.roche.com/fact_sheet_emissions_into_air.pdf</a>
C EN 21	Total water discharge by quality and destination	■ ■ ■	Business Report 2010, Pages 135 <a href="http://www.roche.com/fact_sheet_emissions_into_water.pdf">http://www.roche.com/fact_sheet_emissions_into_water.pdf</a> <a href="http://www.roche.com/fact_sheet_water_consumption.pdf">http://www.roche.com/fact_sheet_water_consumption.pdf</a>
C EN 22	Total weight of waste by type and disposal method	■ ■ ■	Business Report 2010, Page 135 <a href="http://www.roche.com/fact_sheet_waste.pdf">http://www.roche.com/fact_sheet_waste.pdf</a>
C EN 23	Total number and volume of significant spills	■ ■ ■	Business Report 2010, Page 136
A EN 24	Weight of transported, imported, exported, or treated waste deemed hazardous under the terms of the Basel Convention Annex I, II, III, and VIII, and percentage of transported waste shipped internationally	■ ■	According to CEFIC definitions of transport waste is included in the total transport volume of materials leaving Roche premises <a href="http://www.roche.com/fact_sheet_transports.pdf">http://www.roche.com/fact_sheet_transports.pdf</a>
A EN 25	Identity, size, protected status, and biodiversity value of water bodies and related habitats significantly affected by the reporting organization's discharges of water and runoff	■	Not relevant to Roche business
<b>Aspect: Products and Services</b>			
C EN 26	Initiatives to mitigate environmental impacts of products and services, and extent of impact mitigation	■	Environmental risk assessments of principal products and services are prepared for all active substances and are part of product application processes and therefore confidential information <a href="http://www.roche.com/pharmaceuticals_in_the_environment.pdf">http://www.roche.com/pharmaceuticals_in_the_environment.pdf</a>
C EN 27	Percentage of products sold and their packaging materials that are reclaimed by category	■	Packaging of pharmaceuticals is highly regulated. There is no specific reclaim. However, we encourage customers to return unused products to avoid dispersion in the environment in case of improper disposal: Business Report 2010, Page 136 <a href="http://www.roche.com/fact_sheet_waste.pdf">http://www.roche.com/fact_sheet_waste.pdf</a>

Indicator		Reporting status	Where to find information/remarks
<b>Aspect: Compliance</b>			
C EN 28	Monetary value of significant fines and total number of non-monetary sanctions for non-compliance with environmental laws and regulations	■ ■ ■	Business Report 2010, Page 136 In our internal reporting guideline 'significant' means above 100'000 CHF. The three cases cited in the report were well below.
<b>Aspect: Transport</b>			
A EN 29	Significant environmental impacts of transporting products and other goods and materials used for the organization's operations, and transporting members of the workforce	■ ■	According to CEFIC definitions of transport waste is included in the total transport volume of materials leaving Roche premises <a href="http://www.roche.com/fact_sheet_transports">www.roche.com/fact_sheet_transports</a>
<b>Aspect: Overall</b>			
A EN 30	Total environmental protection expenditures and investments by type	■ ■ ■	Business Report 2010, Page 133 <a href="http://www.roche.com/fact_sheet_expenditures.pdf">http://www.roche.com/fact_sheet_expenditures.pdf</a>
<b>Social Performance Indicators</b>			
<b>Labour Practice and Decent Work Performance indicators</b>			
<b>Disclosure on Management Approach</b>			Business Report 2010, Page 115 <a href="http://www.roche.com/employees">www.roche.com/employees</a> <a href="http://careers.roche.com/en/Experienced">http://careers.roche.com/en/Experienced</a>
<b>Aspect: Employment</b>			
C LA 1	Total workforce by employment type, employment contract, and region	■ ■ ■	Business Report 2010, Page 121 <a href="http://www.roche.com/employees">www.roche.com/employees</a>
C LA 2	Total number and rate of employee turnover by age group, gender, and region	■ ■	Business Report 2010, Page 121 We monitor data split by age/gender in all regions for management purposes but do not communicate this externally due to legal limitations in the United States <a href="http://www.roche.com/employees">www.roche.com/employees</a>
A LA 3	Benefits provided to full-time employees that are not provided to temporary or part-time employees, by major operations	■ ■ ■	Business Report 2010, Page 119 We do register all benefits in our benefit registry at global level. We publish regularly examples of those. A comprehensive dataset is not published globally due to the diversity of compensation packages at local level. Our share purchase program, Roche Connect, is available globally to permanent employees, and in countries where legally permitted. <a href="http://www.roche.com/corporate_responsibility/employees/faq_employees-reward">www.roche.com/corporate_responsibility/employees/faq_employees-reward</a>
<b>Aspect: Labour/Management Relations</b>			
C LA 4	Percentage of employees covered by collective bargaining agreements	■ ■ ■	Business Report 2010, Page 120 This figure is monitored every year and is available for external disclosure as in the past. It was not published this year within the annual report as the editorial focus was different, it is available on our website. <a href="http://www.roche.com/employees">www.roche.com/employees</a>
C LA 5	Minimum notice period(s) regarding operational changes, including whether it is specified in collective agreements	■ ■ ■	Business Report 2010, Page 120 In restructuring times, Roche offer over and beyond regulatory requirements such as largely extended notice periods, convert money in time possibilities, focus on internal replacement. Outside restructuring contexts, we comply with all local and national guidelines. Detailed termination notice data is not collected globally due to the diversity of local statutory obligations / sites.
<b>Aspect: Occupational Health and Safety</b>			
A LA 6	Percentage of total workforce represented in formal joint management-worker health and safety committees that help monitor and advise on occupational health and safety programs	■ ■ ■	Business Report 2010, Pages 131, 132 <a href="http://www.roche.com/fact_sheet_safety_and_health-09.pdf">http://www.roche.com/fact_sheet_safety_and_health-09.pdf</a>
C LA 7	Rates of injury, occupational diseases, lost days, and absenteeism, and number of work related fatalities by region	■ ■ ■	Business Report 2010, Pages 131, 132 <a href="http://www.roche.com/fact_sheet_safety_and_health-09.pdf">http://www.roche.com/fact_sheet_safety_and_health-09.pdf</a>
C LA 8	Education, training, counseling, prevention, and risk-control programs in place to assist workforce members, their families, or community members regarding serious diseases	■ ■ ■	Business Report 2010, Pages 131
A LA 9	Health and safety topics covered in formal agreements with trade unions	■ ■ ■	<a href="http://www.roche.com/corporate_responsibility/employees.htm">http://www.roche.com/corporate_responsibility/employees.htm</a>



Indicator		Reporting status	Where to find information/remarks
<b>Aspect: Training and Education</b>			
C LA 10	Average hours of training per year per employee by employee category	■ ■	Business Report 2010, Page 118 <a href="http://www.roche.com/corporate_responsibility/employees/faq_employees-development.htm">http://www.roche.com/corporate_responsibility/employees/faq_employees-development.htm</a> We only partially report on this indicator as it does not fully tie to our training and development strategy. We work with employees individually to guide their development according to their needs, interest and specialties, and hence do not do so based on employee categories.
A LA 11	Programs for skills management and lifelong learning that support the continued employability of employees and assist them in managing career endings	■ ■ ■	Business Report 2010, Page 117–118 <a href="http://www.roche.com/corporate_responsibility/employees/faq_employees-development.htm">http://www.roche.com/corporate_responsibility/employees/faq_employees-development.htm</a>
A LA 12	Percentage of employees receiving regular performance and career development reviews	■ ■ ■	Business Report 2010, Page 118–119 <a href="http://www.roche.com/corporate_responsibility/employees/faq_employees-reward.htm">http://www.roche.com/corporate_responsibility/employees/faq_employees-reward.htm</a>
<b>Aspect: Diversity and Equal Opportunity</b>			
C LA 13	Composition of governance bodies and breakdown of employees per category according to gender, age group, minority group membership, and other indicators of diversity	■ ■ ■	Business Report 2010, Page 116 <a href="http://www.roche.com/corporate_responsibility/employees/faq_employees-diversity.htm">http://www.roche.com/corporate_responsibility/employees/faq_employees-diversity.htm</a>
C LA 14	Ratio of basic salary of men to women by employee category	■ ■	Roche does not tolerate any form of discrimination in any ways as stated in our employment policy. Detailed data is monitored and available locally, and globally. Equal remuneration data of the Roche group are not disclosed externally due to legal context in the United States. <a href="http://www.roche.com/corporate_responsibility/employees/engagement.htm">http://www.roche.com/corporate_responsibility/employees/engagement.htm</a> <a href="http://www.roche.com/corporate_responsibility/employees/faq_employees-diversity.htm">http://www.roche.com/corporate_responsibility/employees/faq_employees-diversity.htm</a>
<b>Human Rights Performance indicators</b>			
<b>Disclosure on Management Approach</b>			<a href="http://www.roche.com/code_of_conduct">www.roche.com/code_of_conduct</a> <a href="http://www.roche.com/human_rights">www.roche.com/human_rights</a> <a href="http://www.roche.com/policy">www.roche.com/policy</a>
<b>Aspect: Investment and Procurement Practices</b>			
C HR 1	Percentage and total number of significant investment agreements that include human rights clauses or that have undergone human rights screening	■ ■	All our investment agreements include human rights clauses or include a human rights screening. We do not report the total number of agreements since it is immaterial for Roche and our stakeholders.
C HR 2	Percentage of significant suppliers and contractors that have undergone screening on human rights and actions taken	■ ■ ■	Business Report 2010, Pages 124–125 Human rights aspects are part of our audits of major suppliers.
A HR 3	Total hours of employee training on policies and procedures concerning aspects of human rights that are relevant to operations, including the percentage of employees trained	■ ■	Business Report 2010, Pages 117–118, 124 All employees are required to complete our Code-of Conduct program which includes human rights. We report on Learning and Development training in general, but not specifically training concerning human rights.
<b>Aspect: Non-Discrimination</b>			
C HR 4	Total number of incidents of discrimination and actions taken	■ ■ ■	Business Report 2010, Page 124 <a href="http://www.roche.com/corporate_responsibility/employees/human_rights.htm">http://www.roche.com/corporate_responsibility/employees/human_rights.htm</a> <a href="http://www.roche.com/corporate_responsibility/employees/policy.htm">http://www.roche.com/corporate_responsibility/employees/policy.htm</a>
<b>Aspect: Freedom of Association and Collective Bargaining</b>			
C HR 5	Operations identified in which the right to exercise freedom of association and collective bargaining may be at significant risk, and actions taken to support these rights	■ ■ ■	We do not have operations where this could be a significant risk.
<b>Aspect: Child-Labour</b>			
C HR 6	Operations identified as having significant risk for incidents of child labor, and measures taken to contribute to the elimination of child labor	■ ■ ■	We do not have operations where this could be a significant risk.



Indicator		Reporting status	Where to find information/remarks
<b>Aspect: Forced and Compulsory Labour</b>			
C HR 7	Operations identified as having significant risk for incidents of forced or compulsory labour, and measures to contribute to the elimination of forced or compulsory labour	■ ■ ■	We do not have operations where this could be a significant risk.
<b>Aspect: Security Practices</b>			
A HR 8	Percentage of security personnel trained in the organization's policies or procedures concerning aspects of human rights that are relevant to operations	■ ■	We have not identified specific risks in the human rights area. All employees when starting in the group complete our e-learning 'Code-of-Conduct' program which covers all our policies and guidelines (the completion is mandatory and monitored), including human rights. <a href="http://www.roche.com/core_values">www.roche.com/core_values</a> <a href="http://www.roche.com/code_of_conduct">www.roche.com/code_of_conduct</a>
<b>Aspect: Indigenous Rights</b>			
A HR 9	Total number of incidents of violations involving rights of indigenous people and actions taken	■ ■ ■	We do not have operations where this could be a significant risk.
<b>Society Performance indicators</b>			
<b>Disclosure on Management Approach</b>			<a href="http://www.roche.com/corporate_responsibility">www.roche.com/corporate_responsibility</a>
<b>Aspect: Community</b>			
C SO 1	Nature, scope, and effectiveness of any programs and practices that assess and manage the impacts of operations on communities, including entering, operating, and exiting	■ ■ ■	Business Report 2010, Pages 106–108, 122–123 <a href="http://www.roche.com/society">www.roche.com/society</a>
<b>Aspect: Corruption</b>			
C SO 2	Percentage and total number of business units analyzed for risks related to corruption	■ ■ ■	Business Report 2010, Page 124 <a href="http://www.roche.com/business_integrity_and_responsible_marketing">www.roche.com/business_integrity_and_responsible_marketing</a>
C SO 3	Percentage of employees trained in organization's anti-corruption policies and procedures	■ ■ ■	Business Report 2010, Page 124 All employees are required to complete our Code of Conduct program which includes Behaviour in Business.
C SO 4	Actions taken in response to incidents of corruption	■ ■ ■	Business Report 2010, Page 124
<b>Aspect: Public Policy</b>			
C SO 5	Public policy positions and participation in public policy development and lobbying	■ ■ ■	Business Report 2010, Pages 129–130 <a href="http://www.roche.com/corporate_responsibility/business/business_integrity_and_responsible_marketing">www.roche.com/corporate_responsibility/business/business_integrity_and_responsible_marketing</a> <a href="http://www.roche.com/stakeholder_dialogue">www.roche.com/stakeholder_dialogue</a> <a href="http://www.roche.com/corporate_responsibility/business">www.roche.com/corporate_responsibility/business</a>
A SO 6	Total value of financial and in-kind contributions to political parties, politicians, and related institutions by country	■ ■	Business Report 2010, Pages 113–114, 122, 131 <a href="http://www.roche.com/patient-groups-list">www.roche.com/patient-groups-list</a>
<b>Aspect: Anti-Competitive Behaviour</b>			
A SO 7	Total number of legal actions for anticompetitive behaviour, anti-trust, and monopoly practices and their outcomes	■ ■ ■	Business Report 2010, Page 124 – Integrity and Compliance metrics : Page 124 – Provisions and Liabilities: Pages 104–108 Finance Report 2010, Pages 102–106
<b>Aspect: Compliance</b>			
C SO 8	Monetary value of significant fines and total number of non-monetary sanctions for non-compliance with laws and regulations	■ ■ ■	Business Report 2010, Page 124
<b>Product Responsibility Performance indicators</b>			
<b>Disclosure on Management Approach</b>			<a href="http://www.roche.com/managing_medication_safety">www.roche.com/managing_medication_safety</a>
<b>Aspect: Consumer Health and Safety</b>			
C PR 1	Life cycle stages in which health and safety impacts of products and services are assessed for improvement, and percentage of significant products and services categories subject to such procedures	■ ■ ■	Business Report 2010, Pages 109–114, 128–129 – Safe and ethical clinical trials: Pages: 109 and 114 – Customer Relationship Management: Pages 128–129 <a href="http://www.roche.com/managing_medication_safety">www.roche.com/managing_medication_safety</a>
A PR 2	Total number of incidents of non-compliance with regulations and voluntary codes concerning health and safety impacts of products and services during their life cycle, by type of outcomes	■ ■ ■	Business Report 2010, Pages 113–114, 124 This information is reported to and by the regulatory authorities. <a href="http://www.roche.com/managing_medication_safety">www.roche.com/managing_medication_safety</a>

Indicator		Reporting status	Where to find information/remarks
<b>Aspect: Product and Service Labelling</b>			
C PR 3	Type of product and service information required by procedures, and percentage of significant products and services subject to such information requirements	■ ■ ■	Business Report 2010, Pages 114, 128–129 Due to the strictly regulated industry we operate in, this information is obligatory for us to have a license to operate.
A PR 4	Total number of incidents of non-compliance with regulations and voluntary codes concerning product and service information and labelling, by type of outcomes	■	Business Report 2010, Page 114 This information is reported by the regulatory authorities.
A PR 5	Practices related to customer satisfaction, including results of surveys measuring customer satisfaction	■ ■ ■	Business Report 2010, Pages 114, 128–129
<b>Aspect: Marketing Communications</b>			
C PR 6	Programs for adherence to laws, standards, and voluntary codes related to marketing communications, including advertising, promotion, and sponsorship	■ ■ ■	Business Report 2010, Pages 114, 128–129 <a href="http://www.roche.com/cbusiness_integrity_and_responsible_marketing">www.roche.com/cbusiness_integrity_and_responsible_marketing</a>
A PR 7	Total number of incidents of non-compliance with regulations and voluntary codes concerning marketing communications, including advertising, promotion, and sponsorship by type of outcomes	■ ■	Business Report 2010, Page 128 Details of major cases are provided but total number of incidents are not reported.
<b>Aspect: Customer Privacy</b>			
A PR 8	Total number of substantiated complaints regarding breaches of customer privacy and losses of customer data	■	Business Report 2010, Pages 109, 113 Not applicable due to heavy regulated industry.
<b>Aspect: Compliance</b>			
C PR 9	Monetary value of significant fines for non-compliance with laws and regulations concerning the provision and use of products and services	■ ■ ■	Business Report 2010, Pages 124, 136