

# Non-Retaliation Policy

## Novartis Global Policy

Document Owner: SpeakUp Office

Version: 2.0

SpeakUp Office  
Ethics, Risk, and Compliance

## Document History

Version	Change(s)
1.0	First version of Policy, based on language currently contained in the “Global Non-Discrimination, Non-Harassment, Civility, and Non-Retaliation Guideline.”
2.0	Minor adjustment of the language

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# 1. Introduction

## 1.1. Purpose

Novartis strives to adhere to the highest business and ethical standards as set forth in our Code of Ethics. Novartis promotes a culture of open and honest feedback and encourages everyone to speak up with concerns related to suspected or actual misconduct.

This Non-Retaliation Policy establishes that retaliation for speaking up, through any channel, is prohibited. It also explains how the Company addresses allegations of retaliation and how it protects those who raise allegations.

Speaking up is central to Novartis values and those who raise concerns in good faith related to suspected or actual misconduct should feel confident in doing so. This policy also reflects the Company's commitment to respect the human rights of associates and third-party stakeholders to be free from retaliation for speaking up, as established in the Code of Ethics and the Human Rights Commitment Statement.

## 1.2. Scope and Applicability

### 1.2.1. Scope

The scope of this document is global.

### 1.2.2. Applicability

This document is applicable to all associates, and to contractors or third-party associates, e.g. those non-employees who have been engaged as part of the Company's contingent workforce, including, but not limited to, interns, temporary personnel, consultants or independent contractors.

## 1.3. Roles and Responsibilities

Roles	Responsibilities
All Associates	Required to adhere to this Policy and raise suspected misconduct issues including, but not limited to, retaliation pursuant to the obligation to report per the Code of Ethics.
Managers	Ensure compliance with this Policy.

## 2. Policy

### 2.1. Definition of retaliation

Retaliation is any punishment of an associate for raising a good faith concern of suspected or actual misconduct through any channel or for the cooperation in an investigation of misconduct.

Retaliation may take place against various people depending on the context, not only against associates accessing or interacting with the grievance mechanism, but also against other persons, such as the reporter's family members, friends, or colleagues.

Examples of retaliation include (but are not limited to):

- *Physical:* all forms of harassment including sexual harassment; physical abuse or violence; and surveillance.
- *Psychological:* Verbal intimidation or threats; inappropriate, discriminatory or disparaging comments; and bullying.
- *Economic:* Demotion; less favorable assignments than the associate would have otherwise received; disciplinary action; termination; salary reduction; preventing promotion; and job reassignment.

### 2.2. Prohibition against retaliation

Novartis prohibits any form of retaliation against an associate who raises in good faith a concern about suspected or actual misconduct through any channel, or who cooperates in an investigation of misconduct.

The Company also expects business partners to prohibit any form of retaliation as set out in Section 2.1.

### 2.3. Reporting incidences of retaliation

If an associate believes that he or she has been subject to retaliation for participating in the SpeakUp process, or has witnessed or is aware of retaliation against another associate, it must be reported to the SpeakUp Office, via phone or online, or to any of the following people:

- Any manager
- Any member of the People & Organization Function
- The Country President
- Any member of the Legal Function
- Any member of the Ethics, Risk & Compliance Function, or
- Any member of Global Security.

Reports of alleged retaliation can be made anonymously, however, anonymity may limit the ability to fully and thoroughly investigate a claim. If an incident is reported anonymously, the Company encourages the reporter to provide sufficient information so that the matter can be investigated.

### 2.4. Investigation process

Reports of alleged retaliation are managed by the SpeakUp Office with the support of global investigative functions (Global Security and / or Legal and / or Employee Relations).

Reports of alleged retaliation are assessed and investigated using the process set out in the SpeakUp Guideline and Investigations Guidance.

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Public

## 2.5. Confidentiality of reporters and associates

The SpeakUp Office and related global investigative functions will handle every report of alleged retaliation confidentially and in compliance with the principles set forth by the Novartis Policy on the Protection of Personal Information.

As a general principle, as few associates as possible will be informed of specific reports of alleged retaliation. If associates need to be informed of reports of alleged retaliation, this will be done on a need-to-know basis in order to investigate and resolve the allegations in an appropriate and thorough manner.

However, confidentiality cannot be ensured where Novartis is required by law to disclose an allegation of retaliation to an authority such as a government agency, or where disclosure is necessary in order to investigate and/or remediate a complaint.

Novartis may choose to publicly disclose the aggregated number of reports of alleged retaliation received, substantiated and/or resolved.

## 2.6. Immunity from punishment by Novartis for raising a good faith concern

Any associate who raises in good faith a concern of suspected or actual misconduct, including retaliation, will not be subject by the Company to negative consequences as punishment for having raised the concern. This includes adverse employment actions, civil, criminal, or administrative actions by the Company, regardless of whether the matter is substantiated.

The Company cannot protect an associate from any investigation, prosecution, claim and/or sentencing by a public authority or court. However, in case the associate has reported the concern in good faith according section 2.3, the company will undertake best efforts to inform the authority about the circumstances.

This protection by the Company applies indefinitely, including where an associate may leave the Company and return in the same or a different role at a later date.

This protection does not apply where allegations of misconduct are raised in bad faith, or where it is established that an allegation was raised with the malicious intent to harass or harm another associate. Nor does this provision mean that an associate will be shielded from legitimate adverse employment action unrelated to the associate's complaint.

## 2.7. Remedial actions

Appropriate sanctions and/or remedial actions will be implemented for substantiated instances of retaliation, up to and including termination of employment, in accordance with local labor laws. As with all concerns raised, Novartis will respond to each incident on a case-by-case basis and seek tailored solutions.

Where an associate raises an issue that involves his or her own misconduct, wholly or in part, and that misconduct is determined to have occurred, the act of voluntarily coming forward and self-reporting will be considered by Novartis when determining appropriate sanctions and/or remedial actions including any legal or disciplinary action.

The Internal Review Committee is responsible for making recommendations on remedial actions in response to substantiated allegations of retaliation in accordance with the Internal Review Committee Guidance.

## 3. Internal Controls

Internal controls for this document are stored in the Novartis Internal Control Register at 'go/controlregister'.

## 4. Breach of this Policy

In alignment with our Code of Ethics, breaches of this document can result in remedial, corrective, or disciplinary actions up to and including termination of employment. Actual or suspected incidents of misconduct should be reported to the SpeakUp Office. Novartis guarantees non-retaliation and confidentiality, to the extent legally possible, for good-faith reports of such breaches.

## 5. Definitions

Term	Definition
<b>Associate</b>	Any employee of the Novartis Group or any of its affiliates, as well as employees of third parties engaged by Novartis.
<b>Internal Review Committee</b>	An independent, cross-functional and/or cross-divisional, committee that makes recommendations on sanctions & remediation that should be taken in response to substantiated allegations derived from the SpeakUp Office investigations
<b>Misconduct</b>	Conduct that violates the commitments in the Novartis Code of Ethics, the policies related to these commitments, or that is illegal.
<b>Novartis or “the Company”</b>	Novartis Group and its affiliates.
<b>Policy</b>	Refers to this Non-Retaliation Policy.
<b>Reporter</b>	An associate who raises a concern of suspected or actual misconduct, including on behalf of another associate.
<b>Retaliation</b>	Retaliation is any punishment of an associate for raising a good faith concern of suspected or actual misconduct through any channel or for the cooperation in an investigation of misconduct.
<b>SpeakUp Office</b>	An independent global function that owns the SpeakUp process at Novartis by overseeing all reported allegations of misconduct.
<b>Reports of suspected or actual misconduct raised through the SpeakUp mechanism</b>	Reports raised to the SpeakUp Office through any channel (see also Section 2.3)

## 6. Exceptions

Exceptions to this Policy are not permitted.

## 7. Adaptations

Adaptations to this Policy are not permitted.

## 8. References

Reference Number	Document Name
1	Code of Ethics
2	Human Rights Commitment Statement
3	SpeakUp Guideline
4	SpeakUp Investigations Guidance
5	Novartis Policy on the Protection of Personal Information
6	Internal Review Committee Guidance