

# Global Non-Discrimination, Non-Harassment, Civility and Non-Retaliation Guideline

## Employee Relations

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**Novartis Global P&O Guideline**

People & Organization

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# 1 Introduction

## 1.1 Purpose

We believe that associates do their best work when they are curious, inspired and unbossed. This guideline supports our commitment to these cultural aspirations by promoting a diverse and inclusive work environment where all associates are treated with dignity and respect, living up to our Values & Behaviors. We are committed to creating a safe workplace where associates have equal opportunities to succeed and an environment free from discrimination, harassment and retaliation, as well as free from bullying and incivility.

This guideline also provides a brief overview of redress procedures, including the Novartis SpeakUp procedure, for any associate who believes they have been subjected to, or witnessed, harassment, discrimination, or for bullying and incivility concerns that cannot be remedied with the assistance of management or P&O and describes protection against retaliation.

## 1.2 Scope and Applicability

The standards described in this guideline are Group-wide. Where necessary, this guideline may be adapted for local implementation, to include locally relevant content and procedures, in compliance with all applicable national and local laws and regulations.

Novartis is committed to providing a work environment free from discrimination, harassment, retaliation, bullying and incivility. This guideline prohibits such conduct by our associates as well as by contractors/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. Likewise, this guideline prohibits conduct directed at associates and contractors from customers, including, but not limited to, physicians and office staff, suppliers, contractors, vendors, and anyone with whom associates conduct business on behalf of Novartis.

This guideline covers all work locations and work-related events, such as business trips, customer/vendor offices, work-sponsored social events, work-sponsored social media forums, and any forum that is outside of work, but in which the behavior may impact the Novartis work environment.

# 2 Discrimination and Harassment

Discrimination involves treating someone differently based on a "Protected Characteristic;" for purposes of this guideline, a "Protected Characteristic" is a trait or aspect of a person's identity that is legally protected by law or by Novartis principles and guidelines.

Harassment involves subjecting someone to repeated mistreatment or unwelcome attention based on one of those Protected Characteristics, to the point that the treatment or attention is intimidating, hostile or abusive.

Examples of Protected Characteristics are nationality, social origin, gender, gender identity or expression, age, ethnicity, race, religion, sexual orientation, disability, family status, pregnancy, marital status or any other protected characteristic of an individual as defined by local law.

Novartis will not tolerate discrimination or harassment in any aspect of employment, including recruitment, performance, compensation, training and development, transfer and termination.

Some examples of discrimination include:

- overlooking the most qualified candidate for a position or promotion because of the person's Protected Characteristic,
- demoting or terminating an associate's employment because of the person's Protected Characteristic,
- providing less favorable compensation/performance review/developmental opportunities to persons with a Protected Characteristic than they would otherwise receive.

Some examples of harassment include:

- making ethnic, sexual, racial or discriminatory slurs, jokes, or comments at work, on or off site, at work-sponsored events, or in a forum that is outside of work, but one in which the behavior may impact the Novartis work environment;
- sending or forwarding emails containing ethnic, racial or discriminatory slurs, jokes or comments;
- sharing on social media, walls, bulletin boards, or anywhere on Company premises or Company- owned vehicles, written or graphic material that denigrates or shows hostility or aversion toward a person or group because of any Protected Characteristic.

Some examples of sexual harassment include:

- unwelcome, intentional sexual touching of another person, or repeated unwanted intentional physical contact;
- repeated unwelcome sexual flirtations, advances or propositions;
- verbal abuse of a sexual nature and sexually oriented kidding, teasing or jokes;
- graphic verbal commentaries about an individual's body or appearance;
- electronic display (e-mail, text, or social media) or transmission of sexually suggestive material;
- sexually degrading words used to describe an individual;
- the display in the workplace or work-related office, facility or function, of sexually suggestive objects or pictures;
- offensive visual conduct such as leering or making sexual gestures;
- downloading, transmission and/or possession at work of sexually explicit materials from any source;
- inquiries into another's sexual experiences and activities or discussion of one's own sexual experiences and activities;
- sexual favoritism which includes a supervisor or manager making decisions based upon an associate's receptiveness to sexual advances.

*(Note: Locally relevant examples, according to local laws and regulations, will be included for local implementation.)*

### 3 Bullying and Incivility

Per the Code of Ethics, Novartis does not tolerate bullying and uncivil conduct; these behaviors are not aligned with our Values and Behaviors. Bullying and incivility is behavior that, while not based on a Protected Characteristic, is nonetheless disrespectful, unfair, and harmful to the workplace.

Generally, workplace bullying is targeted mistreatment of an associate or group through a severe occurrence or persistent pattern of intimidating or abusive behaviors. On the other hand, incivility is lower intensity or milder, but consistently rude or discourteous conduct that, if not addressed, could negatively impact the work environment. Such behaviors can be subtle or more overt.

Some examples of bullying (targeted mistreatment) include:

- abusive, insulting or offensive language or comments;
- aggressive or intimidating conduct;
- purposefully belittling or humiliating comments;
- deliberately excluding someone from work-related activities to cause isolation;
- unreasonably withholding information that is vital for effective work performance;
- setting tasks that are unreasonably below or beyond a person's skill level without business justification;
- denying access to information, supervision, consultation or resources to the detriment of the worker for the purpose of interfering or sabotaging an associate's performance;
- spreading misinformation or malicious rumors;
- changing work arrangements such as rosters and leave to deliberately inconvenience a particular worker or workers without business justification.

Some examples of incivility (consistently rude or discourteous behavior) include:

- significant emotional tirades and losing one's temper;
- public reprimands and making public insults;
- the "silent treatment": intentionally not speaking to someone to create a feeling of exclusion;
- spreading rumors about an individual, or persistently speaking ill of someone behind their back;
- demeaning associates through comments, gestures or notes;
- rudeness, such as being discourteous, interrupting others, speaking to someone with a condescending tone, or acting in a manner that is inconsistent with our Values and Ethical Principles;
- asking for input and then ignoring it or being dismissive of an opinion without explanation,
- "forgetting" to share credit for collaborative work.

Conduct that is out of scope (and not considered bullying or incivility) includes warranted counseling, disciplinary discussions, performance evaluations and feedback, differences of opinion and non-aggressive conflicts that arise in working relationships, delivered in accordance with our Values & Behaviors and Code of Ethics.

## 4 Protection from Retaliation

Associates who report misconduct, including Harassment, Discrimination and Retaliation, Bullying and/or Incivility are protected against retaliatory actions.

Novartis prohibits retaliation. Retaliation occurs when an associate punishes, or attempts to punish, another associate for having made a good-faith complaint or report about conduct that they reasonably believe to be misconduct, including a violation of Company policy or law. Retaliation can include acts of intimidation, coercion, unjustified criticism, or other form of adverse action.

Some examples of retaliation include:

- unjustified termination of employment;
- unwarranted demotion;
- unwarranted negative performance review;
- less favorable assignments than the associate would have otherwise received.

Any associate who believes that they are being retaliated against, or who has witnessed or is aware of suspected retaliation, has an obligation to report it to the SpeakUp Office.

## 5 Reporting Misconduct including Harassment, Discrimination and Retaliation

If an associate experiences, witnesses or is aware of actual or suspected harassment, discrimination or retaliation, they have a responsibility to report the incident. Associates may utilize any of the following resources:

- the SpeakUp Office,
- any manager,
- any member of the People & Organization (P&O) function,
- any member of the Legal function,
- any member of the Ethics, Risk & Compliance function,
- any member of Global Security, or
- the country President.

All complaints received through the channels above will be reviewed and processed as described in the SpeakUp Guideline.

In regard to potential bullying and incivility concerns, some concerns may be effectively dealt with via direct, respectful communication between the parties involved. For cases where the associate is not comfortable doing so, Novartis associates are encouraged to raise concerns to line management or a People & Organization (P&O) representative, pursuant to local conflict management guidelines or local resolution/grievance processes and/or other requirements, policies or practices. If they do not feel comfortable doing so, or if the manager is the person who may be engaging in the offending behavior, or the offending behavior continues and negatively impacts the work environment, associates should bring their concern to P&O or raise it via the SpeakUp Office reporting channels.

Every complaint is taken seriously. If an allegation is not made in good faith, for example, with malicious intent to harm another associate, it will be considered misconduct and will not be tolerated.

## 6 Sanctions and Remedial Actions

Any sanctions or remedial actions will be taken and documented in line with local laws and regulations.

Appropriate sanctions and/or remedial actions will be taken by the business for substantiated instances of misconduct, including substantiated instances of harassment, discrimination, retaliation and bullying – for more information please refer to the SpeakUp Guideline.

Sanctions and remedial actions may be documented and retained by the Company, in accordance with local laws, policy and regulations. The associate's manager, with support from their P&O Partner, will make sure that any disciplinary action is reflected in the performance management process.

## 7 Breach of this Guideline

In alignment with our Code of Ethics, breaches of this Guideline will 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.