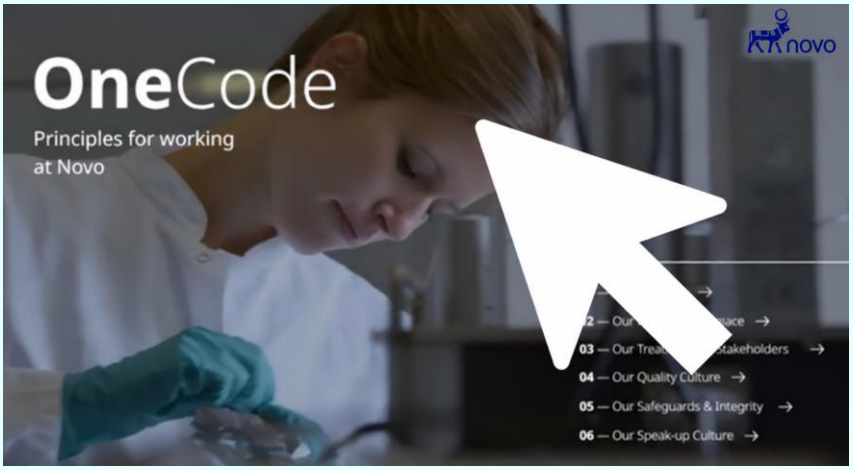
OneCode

Principles for working at Novo

Click here to access OneCode:

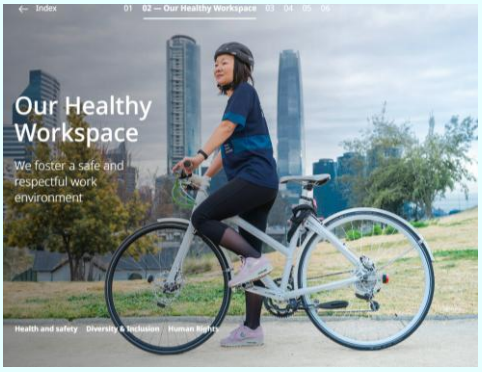


https://onecode.novonordisk.com

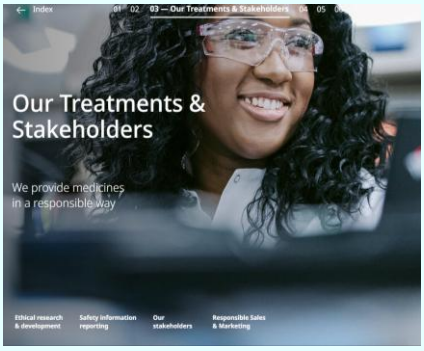
Chapter overview

01 Our Purpose
A message from our CEO

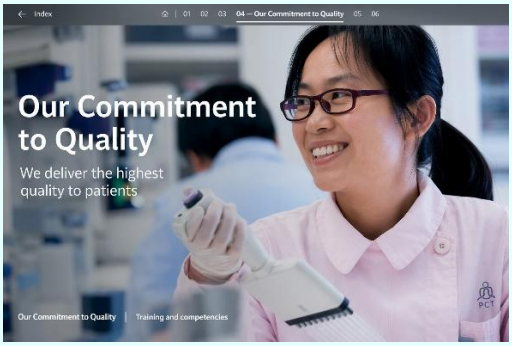
02 Our Healthy Workspace
We foster a safe and respectful work environment



03 Our Treatments & Stakeholders
We provide medicines in a responsible way



04 Our Commitment to Quality
Quality is a priority in everything we do

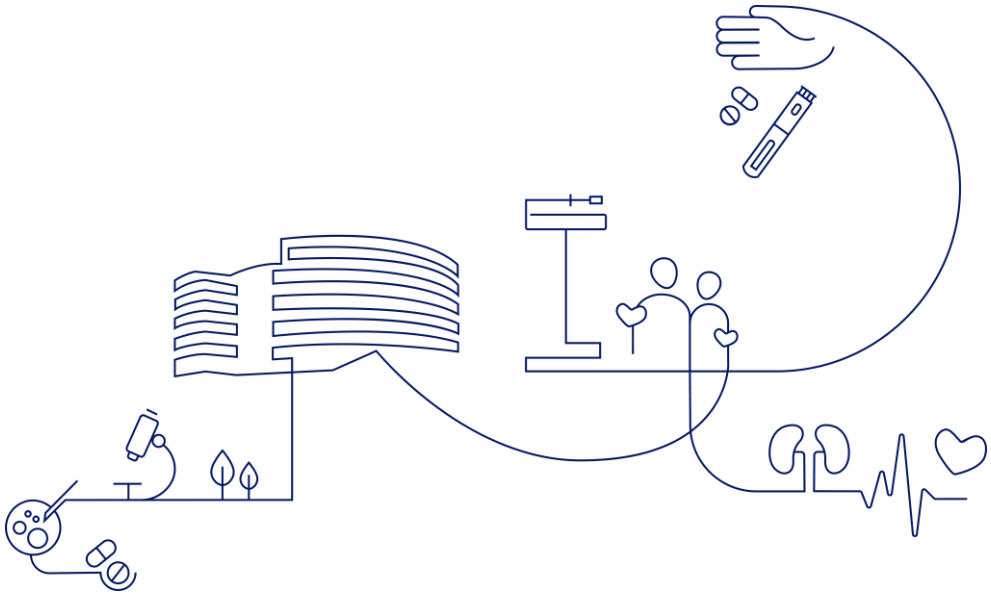


05 Our Safeguards & Integrity
We protect ourselves, Novo and society

06 Our Speak-up Culture
We encourage openness at all levels

OneCode

Principles for working at Novo



OneCode – Principles for working at Novo **applies to everyone employed by or working on behalf of Novo**. The purpose of OneCode is to guide us on how we act as a company and as individuals, empowering each of us with the principles and requirements to make the **right decisions across our business**.

Contents

01 – Our Purpose **6**
02 – Our Healthy Workspace **7**
Health & Safety 7
Diversity, Equity, Inclusion & Belonging (DEIB) 7
Human Rights 8
03 – Our Treatments & Stakeholders **8**
Ethical Research & Development 8
Safety observations reporting 9
Our stakeholders 10
Responsible Sales & Marketing 11
04 – Our Commitment to Quality **12**
Quality is a priority in everything we do 12
Report a quality concern to the SpeakUP Channel 12
Training and competencies 12
Area-specific guidance 14
05 – Our Safeguards & Integrity **15**
Systems and technology 15
Information and data use 15
Data and AI ethics 16
Security 17
Record keeping 17
Fair Competition 17
Sanctions & Export Controls 18
Communication & Social Media 18
Sustainability 19
Ethics & Compliance 19
Insider trading 20
06 – Our Speak-up Culture **20**
Area-specific guidance (Quality) **21**
04.A – Quality in International Operations 21

04.B – Quality in Global Manufacturing & Supply (GMS) 25
04.C – Quality in Research & Development.....28
7 principles of IT Code of Conduct.....29
7 Data Ethics principles 33
7 AI Ethics principles.....34

01 – Our Purpose

A message from our CEO

Every day, thousands of people worldwide go to work at Novo. Each of us is committed to our shared purpose of driving change for lasting health. By discovering and developing new and innovative medicines, we address diseases that affect hundreds of millions of people around the world. I am proud to be part of this ambitious journey with you.

The people we serve are at the centre of everything we do. We seek to understand their individual needs, preferences and experiences and innovate to improve their health and everyday lives. We work tirelessly to enhance access to care and collaborate with partners to enable affordable care for more people worldwide. Our decisions are guided by what creates lasting value for the people we serve and for Novo.

We operate in a highly regulated environment and following applicable rules and regulations is critical to safeguarding our license to operate. Our values are expressed in the Novo Way. OneCode supports us in living up to the Novo Way, especially our fourth principle: 'We care for our people, show respect and never compromise on patient safety and ethics'.

The purpose of OneCode is to guide us on how we act as a company and as individuals. It empowers each of us with the principles and requirements to make the right decisions across our business. OneCode applies to everyone employed by or working on behalf of Novo. OneCode helps us do the right thing, so that we can fulfil our purpose in an ethical and compliant way.

OneCode is not an exhaustive list of every principle or policy you may need to know, but it is a good roadmap and directs you to additional resources. Therefore, use the Novo Way, OneCode and relevant Standard Operating Procedures (SOPs) to guide your actions and decisions.

We all share the responsibility to live by OneCode.

Sincerely,

Maziar Mike Doustdar

President and CEO of Novo

02 – Our Healthy Workspace

Together, we foster a safe and respectful work environment

Health & Safety

We care about your well-being while you are at work and when you return home after work. We support an environment which allows you to perform at your best and to experience a balanced life. We care for each other by fostering a culture of mutual respect and support. Well-being at Novo is feeling safe and knowing that you have been given the trust and tools to do your job at the highest level, whether working on-site, remotely or in the field.

What does it mean for me?

- Speak up and act, if you see or experience something or someone at risk – we can all make a difference for ourselves and our colleagues. Use your manager, local HS Representative or other HS Responsible, when needed
- We all play a role in ensuring a healthy working environment – take the e-learning to learn more about health and safety at Novo

Diversity, Equity, Inclusion & Belonging (DEIB)

At Novo, we fundamentally believe in recognising diversity, ensuring equity, cultivating inclusion, and fostering belonging. We believe that leveraging diverse perspectives drives value for Novo by increasing innovation, leading to better and more nuanced decisions, and stronger risk management. By ensuring access to contribute, equitable opportunities to succeed, and a sense of belonging, we create an environment where everyone can participate in a meaningful way and is enabled to contribute at their best.

What does it mean for me?

- That you contribute to an inclusive and respectful environment through your everyday actions, by actively addressing misconceptions, standing up against bias, advocating for others and promoting equitable treatment and opportunities for all.
- That you help foster a supportive and safe environment where everyone feels respected, included and able to express themselves

Visit the Novo website to learn more about how we are working with DEIB in Novo.

Visit the global DEIB SharePoint site to learn more about our global DEIB priorities and access relevant tools and resources.

Human Rights

Human rights are a set of fundamental rights and freedoms that are inherent to all human beings, regardless of their race, gender, nationality, religion, or any other status. Everyone is entitled to human rights without distinction. We respect all human rights and are committed to fulfilling the UN Guiding Principles on Business and Human Rights and the OECD Guidelines for Multinational Enterprises. We do not tolerate discrimination or harassment in any shape or form – either at Novo or by business partners. That is how we build a safe and respectful work environment.

What does it mean for me?

- Care for people and show respect
- Do not engage in or tolerate harassment, discrimination or retaliation
- Avoid negative impacts on people and address such impacts, if they occur
- Agree on human rights expectations with business partners

Read our Anti-Harassment Framework here, and see how to report an actual or potential violation here.

To learn more, read our Human Rights Commitment here.

03 – Our Treatments & Stakeholders

We provide medicines in a responsible way

Ethical Research & Development

Medicines from Novo are subject to high quality and safety standards throughout the life cycle. From early research to clinical trials to when our medicines are available to patients, we never compromise on applying high standards. We are committed to ensuring the welfare and ethical treatment of animals involved in the development of our medicines. We respect all human subjects' rights, integrity, and dignity to ensure their safety and well-being.

Bioethics is embedded in our research and is fundamental to our decision-making processes and aligned with our sustainability principles. Our research activities and clinical trials fulfil international and national ethical and human rights principles. We are committed to transparency and share our results openly.

What does it mean for me?

Apply the following principles for any research and clinical trials activity:

- Ensure accountability through a governance framework
- Act in accordance with ethical, legal, quality, and regulatory standards
- Assess compatibility for data use
- Ensure a fair balance of interests
- Apply a sound scientific approach
- Protect privacy & confidentiality
- Demonstrate oversight & compatibility
- Always ensure free, prior and informed consent of any human participant

For more information, read Novo Principles of Clinical Research here and Global Bioethics standards here.

Safety observations reporting

You must inform your local safety department of any safety observation involving Novo products that is reported directly to you. This includes information received outside working hours, and it applies whether the Novo product is a drug or a medical device. Safety observations may be reported to you by patients, customers, healthcare professionals or others, but regardless of the source, you must forward the information within 24 hours (in Japan within the same day). If you are not sure whether to forward the information, forward it anyway.

What constitutes safety observations?

- Side effects (adverse events): any healthcare problem or symptom experienced by a user of our products
- Serious outcomes, e.g., hospitalisation or death
- Use of a Novo drug during pregnancy including outcome of a pregnancy, where the foetus may have been exposed to a drug product through parental exposure
- Any adverse event occurring in infants following exposure to a drug product from breastfeeding
- Any suspected transmission of an infectious agent via drug product
- Overdose, drug abuse, and drug misuse
- Medication errors: e.g., administration of the wrong drug
- Lack of efficacy: the drug does not give the expected beneficial effect
- Occupational exposure: exposure to a Novo product as a result of one's occupation. E.g., accidental needle stick while working as a nurse
- Off-label use
- Product Quality Complaint: any information that claims product (drug or medical device) defects
- Suspected counterfeit, diverted or stolen products

What information must be obtained for the report?	• Patient details (age/age group, gender) • Name of the Novo product and the batch number (which indication and period of use) • Details about the reported safety observation (what happened, when occurred, recovery status) • Details about the reporting person (e.g., phone number or email). Novo will probably need to follow up for more information
How to report safety observations?	Report the safety observation to your local department – type local safety/ in your browser. For example, employees in Denmark must report to the Danish affiliate's safety department. If you are unable to do it, then report to your direct manager within the same timeframe. As a last option, you can report directly to Global Safety in HQ via email: patientsafety@novonordisk.com
Let the person reporting the safety observation know that...	• You need to forward the information to the safety department for the sake of patient safety and to comply with current legislation • The data will be treated confidentially and stored in the Novo database for a minimum of 10 years after complete removal of the product from the market • Novo is obliged to report information on product quality complaints and side effects to health authorities in accordance with local legislation • The full information on how we process personal data in Novo can be found on the Novo global company website under "Report a side effect" or on the local affiliate company website

Our stakeholders

We interact with external stakeholders in various ways to advance quality of care. We ensure that our interactions with stakeholders are justified by a valid business purpose and are fully compliant, as we never compromise on ethics. We treat all stakeholders fairly and honestly, respect their independence and we expect our stakeholders to act with integrity.

Patients and Patient Organisations	Our business approach is consumer- and patient-centred, and we believe that regular and systematic patient involvement and dialogue are vital to improving our products, treatments and care.
Healthcare Professionals and Healthcare Organisations	We interact with Healthcare Professionals (HCPs) and Healthcare Organisations (HCOs) in many ways, including for our research and development activities, medical information communications, educational efforts and promotional activities, in order to provide, exchange or obtain scientific or educational input.

Public Officials	We interact with Public Officials, like politicians, governmental employees, and similar, for the purpose of discussing legitimate Novo business, to participate in events organised or sponsored by Novo or others, or to provide bona fide services.
Third Party Representatives	We work with Third Party Representatives (TPRs), such as distributors and marketing agencies, to help develop innovative solutions and make them available to patients.

What does it mean for me? Interacting with patients

- Focus on patients' best interests
- Treat patient information with respect and protect confidentiality
- Follow the established contracting and engagement process for both local and cross-border engagements
- Ensure proper disclosure of transfer of value
- Report any side effects or serious outcomes of our medicines

What does it mean for me? Working with HCPs, HCOs, public officials and TPRs

When interacting with HCPs, HCOs, public officials and TPRs:

- Ensure the interaction is based on a valid scientific and/or business purpose
- Ensure fair market value
- Be responsible, ethical, and transparent
- Address any potential conflict of interest
- Follow the established contracting and engagement process for both local and cross-border engagements
- Ensure proper disclosure of transfer of value
- Never engage with these stakeholders in order to gain an inappropriate advantage for yourself or Novo
- Do not offer, give or receive bribes or improper gifts
- Do not seek to inappropriately influence them

Responsible Sales & Marketing

We communicate to HCPs about our products so they can make the best treatment choices for the benefit of patients' health. The main purpose of the rules on promotion of medicinal products is to safeguard the health of patients.

We only promote Novo products for approved uses and in a manner that is truthful, accurate, non-misleading and balanced.

We share scientific information about our products to ensure that the medical community is fully informed, including providing information about new developments, product safety, and to follow laws and regulations. If you receive a question about a use of our product that is inconsistent with its approved product label or relates to a non-approved product, refer the request to your local Legal, Ethics, and Compliance representative.

04 – Our Commitment to Quality

Quality is a priority in everything we do

We see Quality as a competitive advantage, ensuring that we deliver safe and reliable products for the people we serve. All Novo employees take active responsibility for quality in their work and perform their tasks in accordance with the Quality Management System (QMS).

- Novo's Quality Policy is rooted in the Novo Way and helps every employee live up to our commitment in the Novo Way. Our Quality Policy is our commitment to safe, effective and reliable products that meet the expectations of the people we serve.
- Compliance with applicable regulatory requirements and standards.
- Continuous improvement of our Quality Management System.

The Quality Management System (QMS) covers Good Practices (GxP) from regulations and standards, as well as business needs and relevant laws applicable to Novo's business model. Our QMS covers:

- all products owned by Novo, current and in the pipeline
- all lifecycle stages
- outsourced activities and services
- third-party activities and requirements for supplier qualification, management and oversight
- selected activities not regulated by GxP

Report a quality concern to the SpeakUP Channel

We all have the responsibility to report suspected quality misconduct. This can be done in a secure and confidential manner through the Novo SpeakUP Channel. If you have a concern about a possible breach of regulation or internal policies, the right thing to do is to report your concern by:

- Talking to your manager
- Reaching out to your local Quality Responsible Person
- Reporting to the SpeakUP Channel or the Corporate Ombuds Function

Training and competencies

At Novo, we value professional growth and development. We believe that training and competencies are essential components of our continued success as a company. Ensuring you are competent and adequately trained before performing healthcare-regulated tasks is crucial for the safety of the

people we serve and is a requirement from health authorities. Therefore, before starting any new task or assignment, appropriate training must be completed.

We take training seriously and expect you to fulfil the assigned training before commencing work on the task and no later than the due date.

Your manager will ensure you have a current training plan outlining the required activities. Investing in your professional growth is an investment in the company's success, and we encourage collaborative efforts to achieve our training goals, meet deadlines, and uphold the highest quality for the people we serve.

What does it mean for me?

- Make sure you are trained before you do your tasks
- Check ISOtrain on a regular basis to be on the forefront of your training
- When your responsibilities change, you must discuss with your manager the need for additional training or removal of training
- If you have worked out of compliance, you must contact your manager immediately

For more information type training/ in your browser or read *[Training - Q174772]*. If in doubt, contact your manager or your Training Responsible Person.

Q&A:

Q: Why is Quality important?
A: Quality is a priority at Novo because it is essential to safeguard the people we serve and maintain our license to operate. Therefore, as an employee, it is crucial that you understand both why and how to ensure quality in your daily work.

Q: What is GxP?
A: GxP refers to the regulatory requirements in the healthcare industry. These encompass health authority regulations that govern various activities throughout the product life cycle. In essence, GxP ensures that quality is ingrained in the products from research and development, guaranteeing that the people we serve can rely on their safety and effectiveness. Compliance with these requirements is essential to obtain and uphold a marketing authorisation.

Q: How can I support Product Quality?
A: Report any error or change in our products, so it can be corrected or eliminated (see 'Report Customer Complaints' and 'React to deviations' sections).

Q: What does quality mindset mean?
A: Quality mindset means that you live by the Novo Quality Policy. It refers to a mindset that prioritises and emphasises the aspects of our work, that can impact the people we serve. It involves a commitment to consistently deliver on expectations of high-quality products and services. Quality mindset encompasses a focus on continuous improvement, compliance with our QMS, and driving simplicity based on what matters for the people we serve. It also involves a proactive approach to identifying and addressing potential issues.

Q: May I use generative AI tools such as chatbots when I work in a GxP activity?
A: Generative AI tools may be used to enhance productivity, yet they should never be relied upon to guarantee quality. You are always accountable for ensuring quality.

Further information and guidance:

- Novo Nordisk Quality Manual - Q166087
- Quality Manual eLearning (ISOtrain module NN-QUALITY-MAN-EL)
- Type quality/ in your browser
- If you are in doubt, contact your manager or the local Quality Responsible Person.

Area-specific guidance

If you work in International Operations, click here [04.A]

If you work in Global Manufacturing & Supply (GMS), click here [04.B]

If you work in R&D, click here [04.C]

If you work in U.S. Operations, click here

05 – Our Safeguards & Integrity

We protect ourselves, Novo and society

Systems and technology

- Systems & technology are enablers that make it possible to support our business processes. Furthermore, they connect us and enable efficient collaboration and communication with colleagues, customers, and patients.
- All of us are using IT, and some of us are developing the IT solutions ourselves. You might not be in an IT department, but with increased access to digital platforms, all of us can develop digital solutions, such as apps, automation flows, and Business Intelligence (BI) dashboards.
- Remember all the good that technology gives us, but also:
    - Be aware of digital risks such as fake emails, scams, and unauthorised software and online services. Follow the 7 Principles of IT Code of Conduct
    - Follow the IT Process and relevant SOPs, if you are developing or managing IT solutions, to ensure IT quality and compliance

What does it mean for me?

7 Principles in IT Code of Conduct

Follow these to **protect yourself and Novo**. Click on each of them to learn more.

1. Only Use Novo equipment
2. Connect securely
3. Work securely
4. Do not download
5. Do not upload
6. Protect information
7. Act on security incidents

Employees' failure to comply with the 7 principles in IT Code of Conduct may result in disciplinary action up to and including termination with or without notice, subject to local law.

For more information, including Q&A, type ITsecurity/ in your browser

IT quality & compliance

Follow the IT Process, when **developing or managing IT solutions**, incl. digital solutions, to ensure that the IT solutions are fit for intended use, of high quality, in control, and comply with regulatory requirements. To do so:

- Follow the relevant IT SOPs
- Find guidelines/templates on the IT&Q portal
- Follow *[Ownership of IT systems and IT infrastructure - Q187218]* if you own an IT solution
- Obtain an overview of the IT solutions in your area in ServiceNow, and ensure that your employees receive the necessary training, if you are a people manager

Note: even a simple IT solution of low criticality could potentially harm Novo, e.g., by acting as a gateway to other IT solutions.

Information and data use

We work to solve global health challenges. That requires innovative approaches, including digital health and data-driven solutions. Our data ethics standards help us build trustful relationships with colleagues, partners and patients. We take our responsibility for safeguarding personal data and confidential information seriously.

What does it mean for me? Personal data protection

When working with personal data, you must follow Novo's 5 principles for handling personal data:

1. Use the least amount of personal data needed
2. Inform people how we use their personal data
3. Only share personal data with those who need to know, or by consent where required
4. Store personal data securely
5. Delete personal data when no longer needed

For more information and support go here. If you suspect a data breach, report it immediately in the following link.

Data and AI ethics

At Novo, we have adopted a set of Data and AI ethics principles to support ethical decision-making when using data across the value chain. The principles draw on established concepts in privacy, bio- and healthcare ethics, human rights, and business ethics to ensure we work with data in a way that maximises benefits and minimises harm for individuals and society.

Data and AI ethics

The Data Ethics principles cover all types of data collected, analysed, stored, shared, and otherwise processed. Click on each of them to learn more.

The AI Ethics principles are relevant and apply to all forms and use of AI including, but not limited to, research and business operations. Click on each of them to learn more.

7 Data Ethics principles:

1. Autonomy
2. Transparency
3. Data quality
4. Fairness and non-discrimination
5. Ethics by design
6. Responsible data sharing
7. Responsibility and accountability

7 AI Ethics principles:

1. Empowering humans
2. Accountability
3. Human control
4. Fairness and minimisation of bias
5. Data privacy, security, and safety by design
6. Transparency and explainability
7. Ethical use

For more information on Data and AI ethics principles go here.

Security

Each of us plays a role in ensuring that we have a secure workplace by complying with security procedures and guidance. It is important not only at Novo sites, but also during travel and events. Employees are expected to be aware of all applicable security protocols and follow relevant security requirements. If it is safe to do so, employees are expected to challenge unsafe behaviour or situations that may pose a threat. (For product safety, see section 3).

What does it mean for me? Security

All employees are expected to:

- Visibly wear their Novo ID Card while on a Novo site and present their access card if requested to. Immediately notify your manager if you lose your access card
- Only enter areas they are authorised for and never allow access to Novo sites to unauthorised individuals
- Report any suspicious behaviour, security concern, or opportunity for improvement to their local Security Champion or, if unable to do so, to Global Security via globalsecurity@novonordisk.com. When reporting, include what happened, where and when it occurred, who was involved (if known), and any immediate risk.
- Report suspicious or unusual activity promptly (e.g. unauthorised access attempts, unusual requests for information, or tampering with equipment or records).
- Support security investigations in a transparent and timely manner

When you travel:

- Ensure the International SOS App is downloaded and that all guidance relating to your destination has been reviewed – available here
- Contact your Senior Regional Security Manager with any travel-related security questions or concerns.

If security advice is needed, contact your local Security Champion or Global Security at globalsecurity@novonordisk.com.

In case of an urgency or a serious situation or crisis, contact the NN Security Operations Centre (+45 44 42 00 00) available 24/7.

The latest Global Security guidelines and recommendations can be found here.

Record keeping

We record, report and retain all information accurately and completely in order to protect our credibility. We never falsify company records. We document and record information in harmony with laws, requirements, and company policy – locally and globally.

Fair Competition

We value our relationships with customers, suppliers and competitors, and we respect and comply with laws that govern those relationships. Competition is important and we are proud to compete on

the merits of our products and innovations. We ensure compliance with antitrust and competition laws and do not engage in unfair competition or enter into illegal agreements with competitors or other companies.

What does it mean for me? Fair Competition

- Learn more in the Competition Law SOP and other resources on SharePoint
- Do not engage in anticompetitive conduct, such as entering into price-fixing or market allocation agreements, denigrating competitors, or exchanging commercially sensitive information with competitors
- Speak up, inform your manager, and involve Legal, if you become aware of any potential violations of competition laws

Sanctions & Export Controls

Novo provides essential medicines and medical devices to patients worldwide, including in countries that are subject to certain sanctions and export controls. We are committed to complying with all applicable sanctions and export controls to ensure access to patients and sustainable operations. We are all responsible for sanctions and export controls compliance at Novo, and we do not ignore "red flags" or indicators of non-compliance.

What does it mean for me? Sanctions & Export Controls

- Learn more with e-learning 268426, SOP Q178461, and other resources on SharePoint
- Do not engage in transactions with sanctioned parties. If you identify a potential or current transaction that may involve a sanctioned party, you must stop interactions and immediately contact Legal
- Contact Legal if you have concerns regarding sanctions or export controls risks

Communication & Social Media

We let our colleagues in Global Corporate Affairs and Investor Relations communicate about Novo externally on our behalf, through channels approved by the company. There may be times when you are approached to provide information about the company, employees or related activities. Please remember to never disclose or share information you are not authorised to provide.

We apply the same ethical mindset to social media and digital communication as everything else. We use social media to brand our company, drive our commercial business, and communicate with customers. We do not use social media to promote Novo products; however, there are some countries that do allow product-branded communication. Local regulations should always be followed.

Most of us also have a personal social media presence. When using social media privately, we must act and behave in accordance with our shared values, laws, and regulations. Remember not to share any business-confidential or internal information on social media or in any external engagements you participate in.

Our brand, image and reputation are dependent on how we are perceived by our patients, employees, customers, and the public. We are confident that all of us at Novo act and behave in alignment with OneCode.

What does it mean for me? Communication and media

- Contact Media Relations (within Global Corporate Affairs) or Investor Relations if you receive a request for information or comment on behalf of Novo
- Never speak 'off the record'
- Do not share internal information (e-mails, presentations, files etc.) on social media or in external engagements outside the company
- Do not promote Novo products on social media or any other media where it is not permitted

Sustainability

We want to play a leadership role in helping solve environmental and climate challenges, and to ensure compliance with external requirements. We will continuously minimise our use of resources, such as energy, water and raw materials used in Novo.

We are on a mission towards zero environmental impact, despite globally increasing production. To get there, we embrace a circular mindset – eliminating waste and pollution, designing and producing our products so that the materials can be recovered and reused, and reshaping our business to minimise consumption and eliminate waste by turning it into new resources. Actions are key to our success, and we act daily in accordance with the ambition of having zero environmental impact.

What does it mean for me? Sustainability

- Integrate environmental considerations in your daily operation
- Make sure you sort out waste
- Eliminate waste of energy, water & materials in our daily operations
- When contributing to the design of our products and production facilities - design for sustainability and circularity
- Educate yourself via the Circular for Zero Academy

Ethics & Compliance

Novo follows laws, regulations, industry codes, and strictly prohibits any form of bribery and corruption by both its own employees and business partners. We never offer, give or receive incentives to improperly influence others or to undermine their independence.

We ensure the integrity of our business transactions by keeping documents and records organised, accurate and complete. To ensure this, we conduct internal audits providing objective assurance of financial processes, IT security, ethics and compliance, quality and ESG processes.

We make decisions based solely on objective criteria and professional judgement, and are never improperly influenced by our personal, social, financial or political interests. Our decisions are based on what is best for Novo and our patients, rather than any personal advantage.

What does it mean for me? Ethics & Compliance

- Ensure that business-related documents are accurate, truthful and complete
- Ensure that business decisions are free of personal interest
- Disclose any potential conflict of interest to your manager
- Do not provide or receive bribes or improper advantages
- Do not steal funds, inventory or assets from Novo
- Do not falsify, misuse, manipulate expenses or financial information
- Follow our ethics & compliance requirements (Type TEN/ in your browser) and educate yourself via the Ethics & Compliance Academy

Insider trading

Novo's shares are listed on NYSE and Nasdaq Copenhagen, and we collaborate with other companies, whose shares are also listed. We adhere to all applicable securities laws and do not engage in insider trading nor enable others to engage in insider trading. More information can be found here.

What does it mean for me? Insider trading

- Only share information that could affect the price of shares in Novo or other stock listed companies with people who need it for genuine business purposes, and who are on an insider list
- Do not trade or assist others in trading shares based on information that could affect the share price

06 – Our Speak-up Culture

We rely on you to do the right thing and never compromise on patient safety and ethics. This is an important way for you to contribute to our shared purpose of driving change for lasting health. We share Novo's purpose, and the ambition to make it real.

How Novo performs is the sum of how each of us acts. Your actions are within your control, and how you behave is crucial to how we succeed as a team at Novo. These actions define the high-level behaviours we want to lead with, see and support.

Ethical decision-making is a skill that we continuously train and improve at Novo. OneCode is a part of that, but success is determined by how we act every day, and how we help each other develop. Speak up when you need help, help when others speak up – Every Voice Matters!

Our culture is rooted in openness, accountability and respect. When you speak up or listen, it strengthens our culture. You must speak up whenever you have questions, doubts, ideas or concerns. Speaking up helps us grow. Our speak-up culture is anchored in the Novo Labour Code of Conduct, see link: Novo Labour Code of Conduct.

Violating relevant laws, regulations, or OneCode, or encouraging others to do so, puts both you and Novo at risk. Appropriate disciplinary actions will be taken against any employee or business partner whose actions violate this Code, our values or any policies of Novo.

Your actions lead the way, and if you report a concern in good faith, you will find support and trust. All reports remain confidential when possible. You can also choose to report anonymously to the SpeakUP Channel and engage in a dialogue. All reports are investigated, and appropriate action taken, for example training or disciplinary sanctions. When speaking up or by supporting an investigation, you are protected by our non-retaliation policy. You should always refuse to do anything that violates OneCode, even if it means going against your manager's instructions or resulting in loss of business for Novo. That is how your actions are a key part of defining the behaviour of Novo.

What does it mean for me? SpeakUP – Every Voice Matters!

Report any actual or possible violation of law or behaviour inconsistent with OneCode, our values, or our policies.

You report concerns by either:

- Talking to your manager
- Reaching out to Legal, Ethics & Compliance or People & Organisation
- Reporting to the The SpeakUP Channel or The Corporate Ombuds Function

Area-specific guidance (Quality)

04.A – Quality in International Operations

Customer Complaints

We take customer feedback seriously and are committed to ensuring that our products and services meet the highest standards of quality. If you receive a customer complaint, you must report it to our safety/customer complaint department within 24 hours, so that we can take appropriate action. Customer complaints may include reports of adverse events, technical complaints, and a combination thereof.

Examples of adverse events (see examples in 'Safety observations reporting' section)

Examples of technical complaints:

- The device cannot deliver correctly
- The product is leaking

- The packaging material has a strange colour

You can receive complaints from patients, relatives, pharmacies, HCPs, wholesalers or health authorities. Once reported, each customer complaint is evaluated in the Customer Complaint Centre (CCC) and appropriate investigations are initiated and performed.

Further information and guidance:

- Handling Customer Complaints - Q008782
- Type CCC/ in your browser
- If you are in doubt, contact your local Safety/Customer Complaint department

Q&A:

Q: Is there a difference between customer complaints and safety information?
A: Yes. Safety information also contains information that does not claim any issue with the quality of the product (e.g. pregnancy).

Q: Why do I need to report customer complaints?
A: It is a regulatory requirement that Novo captures and investigates customer complaints. They are used to continuously improve the quality of our products and hereby improve customer satisfaction. It also safeguards patient safety and product quality.

Q: Can one customer complaint lead to a potential recall situation?
A: Yes. A single customer complaint can lead to a potential recall or even a recall situation.
If action is required by you in relation to a potential or an actual recall situation, you will be contacted by CCC.

React to deviations

At Novo, we take deviations from GxP processes very seriously. A deviation occurs when a specified requirement is not met, such as errors on labels, promotional material, missed deadlines or mishandling of samples. It is crucial that we react quickly and effectively to deviations to protect product quality, ensure patient safety, comply with GxP requirements and ensure continuous improvements.

If you discover a deviation, the first step is to stop and correct it, if possible. Then you should immediately contact your manager and/or the Quality Responsible Person in your area. By reporting the deviation promptly, we can take appropriate action to correct the issue and prevent it from happening again in the future.

Example: A sales representative visits a doctor and provides the doctor with a brochure with safety data on the new Novo insulin. The next day, the sales representative revisits the brochure and realises that he does not have the latest version and that there is a new version. He has distributed the outdated brochure on all his visits during the last month. He makes a quick correction by separating the old brochures from the new ones. Immediately after, he contacts his manager and/or Quality Responsible Person and reports what has happened. The relevant person takes the case from here – if more information is needed, he will be contacted.

If you handle samples requiring refrigeration, immediately report any temperature deviations (temperature outside limits) that may occur during storage or distribution of samples. The deviation may be critical for product quality and patient safety.

Further information and guidance:

- Type deviation/ in your browser
- If you are in doubt, contact your manager or the local Quality Responsible Person

Q&A:

Q: Why is it important to report a deviation?
A: Any deviation may potentially impact patient safety, product quality and compliance and in addition it could have a negative impact on the reputation of Novo.

Q: Should I report the deviation even if I have been able to fix the error?
A: Yes, it is important. It is not to blame employees; it is important to document what has happened and to ensure an improvement process is started to make sure the deviation does not happen again for you or your colleagues.

Control changes

Changes are needed to allow improvements of our products and systems, and to allow necessary corrections and preventions. At Novo, we control all changes in GxP processes to ensure that changes are introduced in a controlled manner and do not introduce any risks. However, the level and formality of change control depend on the potential impact of the change on product quality, patient safety, the validated state and regulatory/authority documentation.

Before you implement any change in a GxP process or in an ISO 9001 certified area, talk to your manager or Quality Responsible Person to verify how change control should be applied and if the change requires a Change Request. Example: A new agreement must be established between Novo and a distribution supplier. Should this be controlled via a Change Request? Yes. It is necessary to prepare and approve a Change Request to create and update agreements between Novo and suppliers of distribution services. In this case, a Change Request must therefore be filed in Vault Quality. Other examples of changes that require change request:

- Change of archive location
- Disposal of refrigerator
- Discontinuation of marketed product

Further information and guidance:

- Change Control in Novo Nordisk - Q1067657
- Change Control in Global Manufacturing & Supply and Manufacturing Quality - Q1067656
- Type changecontrol/ in your browser
- If you are in doubt, contact your manager or the local Quality Responsible Person

Q&A:

Q: Why is it important to control changes?
A: When making a change, the change control process ensures that the potential impact on patient safety, product quality or compliance is assessed.

Q: When is the use of Change Control not mandatory?
A: Formal change control is not required for processes outside the GxP domain, such as Finance or Communication. You can find further exemptions from Change Control in *[Change Control in Novo Nordisk - Q1067657] and [Change Control in Global Manufacturing & Supply and Manufacturing Quality - Q1067656].*

Q: I am handling HCP agreements; does it require a change request?
A: No. HCP agreements do not require a change request.

Use Quality Risk Management

At Novo, we are committed to ensuring that the products we deliver to our patients are safe to use. One of the ways we achieve this is by employing Quality Risk Management in our operations. Quality Risk Management helps us assess and control risks and share knowledge across our organisation to drive continuous improvement in our Quality Management System.

What is Quality Risk Management and why is it important?

Quality Risk Management is not about taking risk but rather reducing risk to an acceptable level and safeguarding product quality and patient safety. By using this approach, we can avoid taking risks that could harm our patients, lead to recalls, or result in scrapping of products.

How do we do Quality Risk Management?

To implement Quality Risk Management, we focus on a variety of different activities that take different shapes and forms depending on the specific problem or question that we are addressing. However, the principles are always the same, and we always answer the following four questions:

1. What might go wrong?
2. What is the likelihood it will go wrong?
3. What are the consequences?
4. What can we do to prevent or control the risk?

By answering these questions, we can document our knowledge and use it to make informed decisions throughout the lifecycle of the product. When something does happen, the knowledge gained from the four questions helps us take appropriate action.

What is my role and responsibility? You play an important role in all of this. You should help ensure:

- That we use our knowledge and keep our risk assessment up to date
- That controls are in place and are used
- That you act when something happens
- That decisions are documented

Further information and guidance:

- Quality Risk Management in Novo Nordisk – Q176354
- Write QRM/ in your browser

04.B – Quality in Global Manufacturing & Supply (GMS)

Control changes

We have a Change Control process to ensure that we control any change that can potentially impact the quality of our products. Before you implement any change in a GxP process or in an ISO 9001 certified area, talk to your manager or Quality Responsible Person to verify whether it requires a Change Request.

Further information and guidance:

- Change Control in Novo Nordisk - Q1067657
- Change Control in Global Manufacturing & Supply and Manufacturing Quality - Q1067656
- Type changecontrol/ in your browser
- If you are in doubt, contact your manager or your Quality Responsible Person.

Use Quality Risk Management

At Novo, we make sure that the products we deliver to our patients are safe to use. We assess and control risk, and we share knowledge about the risk across our organisation. We use knowledge of risks to promote continuous improvements in our Quality Management System.

What is Quality Risk Management and why is it important?

Quality Risk Management is not about taking risk. It is about reducing risk to an acceptable level so we are in control and safeguard product quality and patient safety in the best way we can. This helps us avoid risks that may harm patients, lead to recalls, or result in scrapping of products.

How do we do Quality Risk Management?

We use Quality Risk Management to create a focus on many different activities. Quality Risk Management will take different shapes and forms depending on what specifically you are using it for, because it needs to help you solve the problem or question that you are facing. However, the principles used are always the same and we always answer the following simple questions:

1. What might go wrong?
2. What is the likelihood it will go wrong?
3. What are the consequences?
4. What can we do to prevent or control the risk?

This way, we can document our knowledge so it can be used for decisions later in the lifecycle of the product. When something happens, the knowledge from the 4 questions helps us take appropriate action.

What is my role and responsibility? You play an important role in all of this. You should help ensure:

- That we use our knowledge and keep our risk assessment up to date
- That controls are in place and are used
- That you act when something happens

That way you help Novo, and you safeguard our patients.

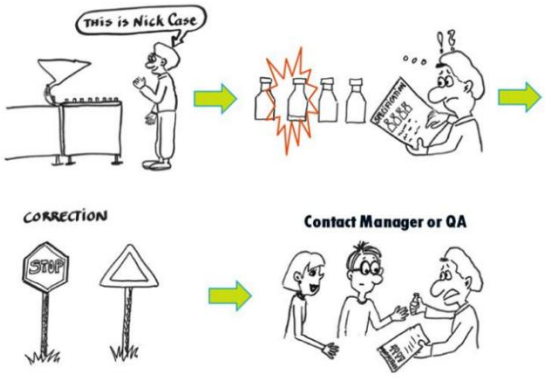
Further information and guidance:

- Quality Risk Management in Novo Nordisk – Q176354
- Write QRM/ in your browser

React to deviations

A deviation is when a specified requirement is not fulfilled. You must know how to react to deviations in GxP processes. The purpose is to protect product quality, patient safety, comply with requirements and ensure continuous improvement. If you discover a deviation, take immediate action to stop it and contact your manager and/or Quality Responsible Person. By reacting quickly and effectively to deviations, we can ensure high-quality products and services and uphold our commitment to patient safety.

Example: This is Nick Case. He works at a filling station. One day he observes a filled vial that deviates from the specification. He makes a quick correction by taking the item off the line and stopping the line. Immediately after, Nick contacts his manager, the person in this department dealing with deviations and/or QA and reports what has happened. The relevant person takes the case from here – if Nick is needed, he will be contacted.



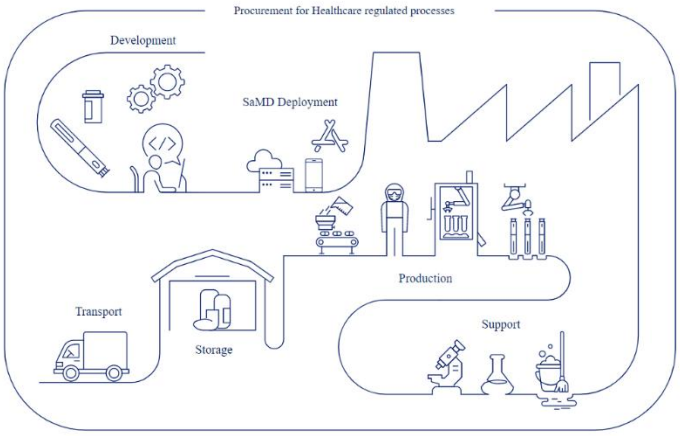
Further information and guidance:

- Type deviation/ in your browser
- If you are in doubt, contact your manager or your Quality Responsible Person

Purchasing goods and services

At Novo, we are committed to being mindful when purchasing goods or services. If you need to order goods or services, you must first consider what they will be used for. If the goods or services will be used in a process regulated by GMP/GDP/Devices requirements, then the Procurement for Manufacturing process applies. It is crucial that the goods or services ordered are suitable for use

and that controls appropriately reflect the risks of the procurement. If you are in doubt about how to assess this, you must contact your manager or your Local Sourcing Responsible.



Examples of goods and services in scope include raw materials, tools and equipment, gowning, cleaning services, transportation services, and outsourced activities.

If the goods or services will be used outside of processes regulated by GMP/GDP/Devices requirements (examples include IT, laboratory equipment, consultants, furniture, meeting venues, market research etc.), you must adhere to the requirements of your local Procurement Policy (or, if no local or regional policy exists, the Global Procurement Policy), ensuring Procurement colleagues are involved in larger or complex purchases for compliant and cost-effective solutions. You can find guidance in the Global Procurement Portal and in Coupa, Novo's procurement and contracting system. By being mindful of our purchasing decisions, we can ensure that we are using appropriate goods and services, upholding our commitment to quality, and ultimately ensuring the safety of the patients.

Find more details:

- Procurement for Manufacturing - Q019443 (type pfm/ in your browser)
- Global Procurement Portal for guidance, policies, and contacts (type GP/ in your browser)
- Coupa for purchasing, contracts, and supplier information (type coupa/ in your browser)
- If in doubt, contact your Local Sourcing Responsible or Corporate Procurement

Maintain good housekeeping

It is important to keep our facilities and equipment clean and tidy in order to ensure compliance with Good Manufacturing Practices (GMP) and to protect our products and samples against contamination. Pay special attention to cleanliness in controlled areas as it can impact the quality of our products.

What does it mean for me? Maintain good housekeeping

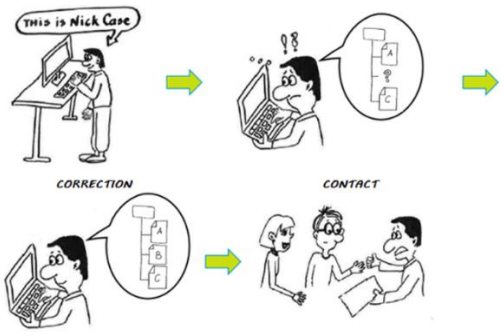
- Inform your manager, if you observe damage, discoloration, paint peeling off, rust or dirt on surfaces
- Dispose of waste regularly and place it in designated waste containers
- When you have finished using tools and equipment, ensure they are clean and put them back
- If you observe liquid on the floor, find out if it is safe to wipe it up yourself or if it requires specific security equipment to do so
- If you observe cables on the floor, place them correctly in a cable tray or inform the relevant colleague
- Keep doors and windows shut to prevent pests like rodents, birds and insects from getting in and to control the indoor environment
- If you see misplaced pest indicators, make sure that they are put back to the location marked on the wall (parallel to and up against the wall and with the hole not blocked)
- If you see pests outside indicators, immediately contact the pest control responsible person in your department/area

04.C – Quality in Research & Development

React to deviations

Deviations from GxP processes can occur when a specified requirement is not fulfilled. Reacting to these deviations is crucial to protect product quality, patient safety, comply with requirements and ensure continuous improvements.

If you discover a deviation, take immediate action to stop it and contact your manager and/or Quality Responsible Person. By reacting quickly and effectively to deviations, we can ensure high-quality products and services and uphold our commitment to patient safety.



Example: This is Nick Case. Nick must archive and index relevant documents in an IT system. One day Nick discovers that a document is not in the system. He makes a quick correction by archiving and indexing the document as required. Immediately after, Nick contacts the person dealing with deviations in his area. Nick delivers the documentation for his correction and hands over any other relevant information. The person handling deviations will take the case from here. If Nick is needed, he will be contacted.

Further information and guidance:

- Type deviation/ in your browser
- If you are in doubt, contact your manager or your QA

Control changes

Changes are needed to allow improvements of our products and systems, and to allow necessary corrections and preventions. At Novo, we control all changes in GxP processes to ensure that changes are introduced in a controlled manner and do not introduce any risks. However, the level and formality of change control depend on the potential impact of the change on product quality, patient safety, the validated state, and regulatory/authority documentation.

Before you implement any change in a GxP process or in an ISO 9001 certified area, talk to your manager or Quality Responsible Person to verify how change control should be applied and whether the change requires a Change Request.

Further information and guidance:

- Change Control in Novo Nordisk - Q1067657
- Change Control in Global Manufacturing & Supply and Manufacturing Quality - Q1067656
- Type changecontrol/ in your browser
- If you are in doubt, contact your manager or your Quality Responsible Person

7 principles of IT Code of Conduct

1. Use of Novo IT systems, hardware and data assets

Only connect Novo approved equipment and mobile devices to Novo IT networks, including OT networks. Unapproved and private equipment may be connected to Novo guest networks.

Privately owned equipment such as computer mice, keyboards and web cameras may be connected to Novo computers only if the private equipment does not have storage facilities. If the privately owned equipment does not work with standard drivers, then use Novo approved equipment.

All files must be stored in approved content repositories or file storage locations (for example, department/project shared drives, SharePoint or OneDrive). Use of USB storage is not permitted unless for specific approved use-cases – please follow the USB exception approval process. In those cases, only approved USB devices with storage facilities purchased using the Novo procurement and contracting system Coupa or equivalent are allowed. If the Coupa system or equivalent is not available in the area, please use local purchase policy. It is not allowed to connect approved USB devices with storage facilities to private IT equipment.

Do not share Novo equipment with anyone who is not authorised to use Novo equipment. A person is authorised to use Novo equipment if the person has a signed contract with Novo. Please note that it is not allowed to use another employee's credentials.

Private use of Novo IT equipment and mobile devices is permitted to a limited extent but must not include any professional activity outside Novo.

Private content must be marked as "private". Private e-mails must include "private" inserted into the subject field and folders must be named private.

Private content must not be placed in any shared resources.

All data transmitted and stored on Novo systems belong to Novo, and Novo has ownership of data protection and retention. Novo can, to the extent permitted by law, use data and e-mail correspondence in legal actions involving Novo.

To the extent permitted by law, Novo reserves the right to continuously monitor the use of Novo IT systems, computers, and mobile devices, activities marked as private are not exempted. This monitoring is used for security reasons to safeguard Novo information.

It is allowed to install applications for personal use on mobile devices and take personal pictures. However, users are responsible for their own data, including backing up such data. If required for any reason, Novo can initiate that all data will be deleted on mobile devices. It is not allowed to install applications on a Novo laptop for personal use. You are not allowed to access, use, download, delete, or share Novo data assets for non-company purposes or in breach of applicable rules and requirements.

Always lock devices when leaving them unattended and do not leave the device unattended when outside the office premises, for example, in a taxi or at a café.

All Novo equipment that is no longer in use must be securely disposed in an environmentally sound manner. Inform your manager of any Novo equipment that is no longer in use and therefore must be securely disposed.

Equipment containing information under legal hold must follow the requirements defined in *[Protecting and Handling Information - Q1066556]*.

2. Connect securely

When using Novo equipment, including computers and mobile phones, avoid connecting to "open networks" (a network without password protection) in for example, airports, hotels or coffee shops, enable Zscaler before connecting. Preferably you should use your mobile phone as wireless hotspot instead of using "open networks". Do not charge your device physically, via USB to any public charging station.

3. Work securely

When you receive messages via email, SMS, or Teams, handle external links and attachments with caution. Always verify the real web address by hovering over the link (on iOS, tap and hold the link to preview the URL), and check if the sender's name and email address match. Report suspicious emails – including any request for sensitive information via the "Report" button in Outlook.

Received e-mails asking to share any **sensitive or internal company information**, such as passwords, should be reported to IT Security by using the Report a Phish button in Outlook.

[Three Fundamentals]

Any attempt to disable security settings or security controls will result in an investigation and a clean re-installation of the device.

Browsing **illegal sites** or sites containing objectionable material, for example, pornographic material, racist material, or illegal software is prohibited. Storage of such material on Novo IT equipment, including personal storage spaces and files, is also prohibited.

A **non-standard application** is an application which has not been approved for use on the Novo network or is not a part of the Novo software portal. If individuals install a non-standard application, it is the responsibility of the individual to ensure that Novo information is protected and that Novo systems are not put at risk, for example by ensuring that the non-standard application is kept up to date and by following the requirements defined in 'Manage IT systems including digital solutions' (Q187219) and related requirements.

Generally, only use **cloud services** provided by Novo. Vendor services can be used if agreed in a formal contract between the vendor and Novo, and it must be ensured that Novo information is protected, for example by applying proper user management. The use of cloud services may be denied without prior notice.

Novo **servers and other infrastructure equipment** must only be used for intended business purposes. Web browsing and other internet access, for example, access to e-mails not in scope for business purposes are not allowed from servers or other infrastructure equipment. This also applies to cloud services of all kinds.

4. Do not download

Downloading unmanaged software can pose a significant risk. Always respect **software licenses** or information protected by **copyright laws**. This includes illegal streaming and downloading of copyright protected music, radio- or TV-transmissions or video files.

5. Do not upload

When using **social media**, do not discuss internal or confidential matters. Be aware that sharing any content (text, pictures, video etc.) can have a long-lasting impact on Novo's reputation.

Do not share **Novo internal information** such as pictures of ID and access cards, computer systems and physical security (for example, door locks, CCTV's - Closed-circuit television, also known as video surveillance, alarm systems) or any other internal information.

Always adhere to the Novo Social Media Guidelines.

[Social Media Guidelines]

It is not allowed to transfer or automatically forward Novo information to **cloud or e-mail services** (for example, Gmail, Dropbox, etc.) that are not approved by Novo.

Do not use online services for example, translation services that are not approved by Novo, with Novo classified information. *[Protecting and Handling Information - Q1066556].*

6. Protect Information

Novo information must be handled according to criticality to Novo.

Business critical information must be classified according to confidentiality level – in Novo, we have 4 levels of confidentiality - Strictly Confidential, Confidential, Internal use, Public. The confidentiality level must be based on the potential harm to Novo in case of an incident (e.g. unauthorised access or unauthorised disclosure).

Exchange of classified information with external third parties can only be permitted when allowed by business requirements, and must only be performed securely, in accordance with the confidentiality agreement between parties.

Confidential data must be encrypted according to the data classification rules in *[Protecting and Handling Information - Q1066556]*. Unencrypted storage of confidential information on USB sticks, DVDs or other removable media must only be used when encryption is not possible. In such cases, unencrypted storage must be kept physically secure.

Printed material with classified information must not be left unattended and must be properly destroyed after use.

Ensure that exchange of classified information with external persons or organisations outside Novo is allowed and is done securely, adhering to the confidentiality agreement between parties.

Novo passwords are personal and secret and must not be shared with anyone, written down or saved in password vaults, except in solutions approved by Novo. Passwords must not be easy to guess and must be different from passwords you use outside Novo. When creating a password, a good way to create a strong and memorable password is by using 3 random words. Short hot building is an example of a passphrase that is easy to remember and easy to type.

If you are notified or suspect that any of your passwords have been revealed, immediately take action to change the password, and report the problem to the local IT department or Service Desk.

Software security updates must be installed as instructed. If you have installed non-standard IT applications, you are responsible for installing the needed security patches in due time after release. Security applications and services installed by Novo must not be changed unless approved by Global Information Security.

7. Act on security incidents

If suspecting that a computer has been infected by malicious software, i.e. malware, for example computer virus, immediately shut down the computer and contact Global IT Support. Do not power on the computer unless approved by Global IT Support.

An IT security incident is defined as a situation indicating actual harmful destruction, alteration, or disclosure of Novo information or IT systems, or a violation of IT security requirements.

All actual or suspected IT security incidents and possible vulnerabilities must be reported to Global IT Support.

7 Data Ethics principles

1. Autonomy

Respect individuals' data privacy and protect their data protection rights. Data should be used in ways that are consistent with the intentions and understanding of the individual. Best efforts should be made to make individuals aware of how their data will be used and, where appropriate and possible, offer them choices about who has access to their data and how it may be used.

2. Transparency

Individuals should be able to understand how their personal data are used. Individuals should be informed, in a manner that is appropriate and understandable to the relevant audience, regarding:

- the type and extent of data collected about them,
- how it will be used (including, to the extent possible, secondary uses of data),
- how technologies are used to aid data-based decisions that impact them,
- how their rights (including the right to privacy) are protected, and
- what actions they may take to exercise their rights.

Legally permissible limitations on such rights should be clearly explained. Data governance standards and practices should be made available for public review, when appropriate.

3. Data quality

The best quality data available should be used to make decisions. Data use should include processes to identify, prevent, and off-set poor quality, incomplete, or inaccurate data. When data quality, completeness, or accuracy presents risks of bias or harm to the individual, processes for mitigating these risks should be pursued and documented.

4. Fairness and non-discrimination

Data acquisition should be inclusive, equitable, and seek to support the industry's mission of responding to the needs of all patients. Engaging a diverse set of stakeholders in decision-making around data use and development of technologies to leverage data can build trust and support efforts to eliminate harmful biases. Technologies leveraging data should also include data-driven processes for quantifying the potential for bias in the populations in which they are being deployed.

5. Ethics by design

Controls to prevent harm and risks to individuals should be built into the design of data architecture and data processing. This includes having processes in place to identify, assess, and mitigate risks of intentional and unintentional discrimination and bias, breaches in privacy and security, physical harm, and other adverse impacts on individuals.

6. Responsible data sharing

Data sharing should be based on processes that actively and consistently consider, prioritise, and protect individual rights. Data should always be obtained by legitimate means, and there should be designated individuals accountable for protection and confidentiality of data. Third parties working with IFPMA members should be informed about and expected to adhere to these principles. In addition, data interoperability initiatives should prioritise, include, and support ethical and responsible data sharing practices.

7. Responsibility and Accountability

Data Ethics Principles should be operationalised through effective governance, clear standards, training, monitoring activities, and disciplinary sanctions. Senior management should be aware, and ensure the application, of ethics principles in decisions around the use of data in strategic activities.

7 AI Ethics principles

1. Empowering Humans

AI systems should be designed and utilised with the idea that the use of AI needs to respect the rights and dignity of all people. When developing or using AI systems, we will consider both the societal benefit and any impact on individuals.

2. Accountability

We ensure accountability for the development and use of AI systems, including those developed by third parties, including suppliers acting under Novo authority, in all AI system lifecycles. This includes establishing proper governance, adherence to relevant legal, ethical, technical, cybersecurity and regulatory standards, appropriate deployment of risk and impact-based controls, and incorporation of strategies for any unintended negative consequences of AI systems, including continual monitoring and feedback loops as AI evolves over time.

3. Human Control

AI systems should be deployed with an appropriate level of human control and oversight, based on the assessed risk to individuals. Where there is a potential for direct and significant impact on individuals because of deploying AI, AI should not be given complete autonomy in decision making.

4. Fairness and minimisation of bias

Developers and owners should strive to minimise bias and maximise fairness in AI systems. Any development of an AI system should include a process to review the selection of datasets used in training and the assumptions used in the design to evaluate whether those assumptions minimise any bias of the developer or bias that is present in the data, design, or architecture the developer has relied upon. Developers and owners should continuously monitor and adapt AI systems to correct for bias throughout the AI lifecycle, including by ensuring diversity among the designers and developers of AI.

5. Data Privacy, Security, and Safety by Design

Data privacy, security, and safety should be considered as part of the design of any AI system and its lifecycle by implementing adequate measures to mitigate risks to the data privacy, security, and safety of individuals, including where relevant, compliance with applicable data privacy regulations and technical and organisational measures to ensure a level of security appropriate to the risk of data processing.

6. Transparency and Explainability

When deploying AI, it should be described, to the extent possible and where appropriate, when and how AI is used; how personal data, if any, is used; the goals, underlying data and any limitations of such data, and assumptions that power a given AI system; and the limitations of that system. When using non-explainable AI in a context that has the potential for direct and significant impact on individuals, we must ensure extra focus on transparency, human control, and elimination of bias.

7. Ethical Use

In addition to complying with applicable regulations, AI should be used in an ethical way. This includes a focus on privacy, security, and avoiding unintended biases when processing data. Further, AI systems should respect human rights, embrace diversity, and uphold individual autonomy.