General Privacy Notice for Suppliers

Novartis considers privacy as a very important matter. Accordingly, Novartis is pursuing the greatest transparency concerning its processing of personal information.

The purpose of this Privacy Notice is to clarify the way Novartis is processing personal data of the following data subjects:

• our suppliers and service providers who are natural persons (such as self-employed persons);
• the representatives or contact persons of our suppliers and service providers who are legal entities; and
• any other visitors of one of our facilities.
(Together, the “suppliers”).

Our suppliers are invited to carefully read this Privacy Notice, which sets out in which context we are processing suppliers’ personal data and explains suppliers’ rights.

Should our suppliers have any further question in relation to the processing of suppliers’ personal data, they are invited to contact our data protection officer at global.privacy_office@novartis.com.

1 What information do we have about our suppliers?

This information may either be directly provided by our suppliers or provided by the legal entity for whom our suppliers work.

We may collect various types of personal data about our suppliers, including:

(i) Suppliers’ general and identification information (e.g. name, first name, last name, gender, date and place of birth, nationality, ID card or passport numbers, email and/or postal address, fixed and/or mobile phone number and car registration number);

(ii) Suppliers’ function (e.g. title, position and name of company);

(iii) for natural persons acting as suppliers or service providers, financial information (e.g. bank account details); and

(iv) suppliers’ electronic identification data where required for the purpose of the delivery of products or services to our company (e.g. login, access right, passwords, badge number, IP address, online identifiers/cookies, logs, access and connexion times, image
recording or sound such as badge pictures, CCTV or voice recordings).

If our suppliers’ intend to provide us with personal data about other individuals (e.g. suppliers’ colleagues), our suppliers must provide a copy of this Privacy Notice to the relevant individuals, directly or through suppliers’ employer.

2 For which purposes do we use suppliers’ personal data and why is this justified?

2.1 Legal basis for the processing

We will not process suppliers’ personal data if we do not have a proper justification foreseen in the law for that purpose. Therefore, we will only process suppliers’ personal data if:

- we have obtained suppliers’ prior consent;
  
  [Note: the rest of the section 2.1. is not applicable for Canada and China]

- the processing is necessary to perform our contractual obligations towards our suppliers or to take pre-contractual steps at suppliers request;

- the processing is necessary to comply with our legal or regulatory obligations; or

- the processing is necessary for our legitimate interests and does not unduly affect suppliers interests or fundamental rights and freedoms.

Our suppliers should note that, when processing suppliers’ personal data on this last basis, we always seek to maintain a balance between our legitimate interests and suppliers’ privacy. Examples of such ‘legitimate interests’ are data processing activities performed:

- To develop a proximity and trustful professional relationship;
- To promote Novartis innovation in the pharmaceutical field;
- To manage Novartis human and financial resources;
- To benefit from cost-effective services (e.g. we may opt to use certain platforms to process data);
- To offer our products and services to our customers;
- To prevent fraud or criminal activity, misuses of our products or services as well as the security of our IT systems, architecture and networks;
- To sell any part of our business or its assets or to enable the acquisition of all or part of our business or assets by a third party; and
- To meet our corporate and social responsibility objectives.
For more information on our specific interests, Novartis can be contacted as indicated under section 6 below.

2.2 Purposes of the processing

We always process suppliers’ personal data for a specific purpose and only process the personal data, which is relevant to achieve that purpose. In particular, we process suppliers’ personal data for the following purposes:

- manage our suppliers and service providers throughout the supply chain;
- organise tender-offers, implement tasks in preparation of or to perform existing contracts;
- monitor activities at our facilities, including compliance with applicable policies as well as health and safety rules in place;
- grant our suppliers’ access to our training modules allowing our suppliers to provide us with certain services;
- manage our IT resources, including infrastructure management and business continuity;
- preserve the company’s economic interests and ensure compliance and reporting (such as complying with our policies and local legal requirements, tax and deductions, managing alleged cases of misconduct or fraud, conducting audits and defending litigation);
- manage mergers and acquisitions involving our company;
- archiving and record-keeping;
- billing and invoicing; and
- any other purposes imposed by law and authorities.

3 Who has access to suppliers’ personal data and to whom are they transferred?

We will not sell, share, or otherwise transfer suppliers’ personal data to third parties other than those indicated in this Privacy Notice.

In the course of our activities and for the same purposes as those listed in this Privacy Notice, suppliers’ personal data can be accessed by, or transferred to the following categories of recipients on a need to know basis to achieve such purposes:

- our personnel (including personnel, departments or other companies of the Novartis group);
- our independent agents or brokers (if any);
- our other suppliers and services providers that provide services and products to us;
- our IT systems providers, cloud service providers, database providers and consultants;
any third party to whom we assign or novate any of our rights or obligations; and

our advisors and external lawyers in the context of the sale or transfer of any part of our business or its assets.

The above third parties are contractually obliged to protect the confidentiality and security of suppliers’ personal data, in compliance with applicable law.

Suppliers’ personal data can also be accessed by or transferred to any national and/or international regulatory, enforcement, public body or court, where we are required to do so by applicable law or regulation or at their request.

The personal data we collect from our suppliers may also be processed, accessed or stored in a country outside the country where Novartis Company is located, which may not offer the same level of protection of personal data.

If we transfer suppliers’ personal data to external companies in other jurisdictions, we will make sure to protect suppliers’ personal data by (i) applying the level of protection required under the local data protection/privacy laws applicable to Novartis Company, (ii) acting in accordance with our policies and standards and, (iii) for Novartis Company located in the European Economic Area (i.e. the EU Member States plus Iceland, Liechtenstein and Norway, the "EEA"), unless otherwise specified, only transferring suppliers’ personal data on the basis of standard contractual clauses approved by the European Commission or the Swiss Federal Data Protection and Information Commissioner respectively. Our suppliers may request additional information in relation to international transfers of personal data and obtain a copy of the adequate safeguard put in place by exercising suppliers’ rights as set out in Section 6 below.

If our suppliers are located in Australia, the personal data we collect from our suppliers may be processed, accessed or stored outside of Australia, including in the EEA. We will take reasonable steps to ensure that any overseas recipient will deal with such personal information in a way that is consistent with the Australian Privacy Principles.

For intra-group transfers of personal data, the Novartis Group has adopted Binding Corporate Rules, a system of principles, rules and tools, provided by European law, in an effort to ensure effective levels of data protection relating to transfers of personal data outside the EEA and Switzerland. Read more about the Novartis Binding Corporate Rules by clicking here https://www.novartis.com/sites/www.novartis.com/files/bcr-individual-rights-2012.pdf.

4 **How do we protect suppliers’ personal data?**

We have implemented appropriate technical and organisational measures to provide an adequate level of security and confidentiality to suppliers’ personal data.

These measures take into account:
(i) the state of the art of the technology;
(ii) the costs of its implementation;
(iii) the nature of the data; and
(iv) the risk of the processing.

The purpose thereof is to protect it against accidental or unlawful destruction or alteration, accidental loss, unauthorized disclosure or access and against other unlawful forms of processing.

Moreover, when handling suppliers’ personal data, we:

- only collect and process personal data which is adequate, relevant and not excessive, as required to meet the above purposes; and
- ensure that suppliers’ personal data remains up to date and accurate.

For the latter, we may request our suppliers to confirm the personal data we hold about our suppliers. Our suppliers are also invited to spontaneously inform us whenever there is a change in suppliers’ personal circumstances so we can ensure suppliers’ personal data is kept up-to-date.

5 How long do we store suppliers’ personal data?

We will only retain suppliers’ personal data for as long as necessary to fulfil the purpose for which it was collected or to comply with legal or regulatory requirements.

The retention period is the term of suppliers’ (or suppliers’ company’s) supply or service contract, plus the period of time until the legal claims under this contract become time-barred, unless overriding legal or regulatory schedules require a longer or shorter retention period. When this period expires, suppliers’ personal data is removed from our active systems.

Personal data collected and processed in the context of a dispute are deleted or archived (i) as soon as an amicable settlement has been reached, (ii) once a decision in last resort has been rendered or (iii) when the claim becomes time barred.

6 What are suppliers’ rights and how can our suppliers exercise them?

Our suppliers may exercise the following rights under the conditions and within the limits set forth in the law:

- the right to access suppliers’ personal data as processed by us and, if our suppliers believe that any information relating to our suppliers is incorrect, obsolete or incomplete, to request its correction or updating;
- the right to request the erasure of suppliers’ personal data or the restriction thereof to specific categories of processing;
- the right to withdraw suppliers’ consent at any time, without affecting the lawfulness of the processing before such withdrawal;
- the right to object, in whole or in part, to the processing of suppliers’ personal data; and

- the right to request its portability, i.e. that the personal data our suppliers have provided to us be returned to our suppliers or transferred to the person of suppliers’ choice, in a structured, commonly used and machine-readable format without hindrance from us and subject to suppliers’ confidentiality obligations.

If our suppliers have a question or want to exercise the above rights, they may send an email to our data protection officer at global.privacy_office@novartis.com or a letter to Novartis at their local address with a scan of suppliers’ identity card for identification purpose, it being understood that we shall only use such data to verify suppliers’ identity and shall not retain the scan after completion of the verification. When sending us such a scan, suppliers should make sure to redact suppliers’ picture and national registry number or equivalent on the scan.

If our suppliers are not satisfied with how we process suppliers’ personal data, they may address their request to our data protection officer at global.privacy_office@novartis.com, who will investigate suppliers’ concern.

In any case, our suppliers also have the right to file a complaint with the competent data protection authorities, in addition to suppliers’ rights above.

7 How will our suppliers be informed of the changes to our Privacy Notice?

Any future changes or additions to the processing of suppliers’ personal data as described in this Privacy Notice will be notified to our suppliers in advance through a notice using our usual communication channels (e.g. by email or via our internet websites).

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