

Novartis Meeting Security: Work Practice Document

1. Introduction/Purpose

Novartis Security is committed to supporting off-site meetings to ensure Novartis' people, property and information remains safe. Novartis Security utilizes a risk based management approach combined with intelligence assessments to protect its associates, proprietary information and assets. Based on information provided, this document outlines those recommended guidelines Planners and Sponsors should consider when deciding to have a Meeting Security presence at a Novartis offsite meeting.

Note: if it is determined that security will be present to support off-site meetings it is the responsibility of the Novartis meeting sponsor to arrange payment with any and all security vendors

Should meeting sponsors and/or (internal/external) planners have any questions or concerns regarding any information found in this document or specific questions regarding the program recommendations please contact Stephanie Wells at stephanie.wells@novartis.com (+1.817.219.4642). For specific risk information and or travel concerns please contact Andy Grantham at andrew.grantham@novartis.com (+441276698384) or Christopher Trowbridge at christopher.trowbridge@novartis.com (+41613241583).

2. Risk Tier System (Recommendations for Security Presence)

Novartis security utilizes a tier based approach in order to provide its security recommendations (see below). In addition to the various tiers, Novartis security reviews intelligence information regarding the meeting particulars, participants and the proposed venue (e.g. competitors utilizing venue, layout challenges), environmental risks (e.g. local crime statistics/civil disorder), IGM requirements, and other situational based intelligence (e.g. Animal Rights Extremism).

-Note: The data points found within the different tiers are reviewed individually to ensure a measured approach is taken for each meeting

This tier structure consists of the following:

- a. **Tier 1: Security Presence Strongly Recommended**
 - i. Information presented at the meeting is "Strictly Confidential"
 - ii. Sensitive materials or discussions, e.g. clinical trial data, strategic market plans, financial results, FDA reporting etc.
 - iii. Attendee counts exceed 200
 - iv. Executive Committee Members in attendance
 - v. e. g. FDA Advisory Meetings, DRA Investigator's Meetings
 - vi. Meeting space is scattered throughout the venue or is utilized throughout multiple

venues

- vii. Meeting venue is located in high risk area or region (i.e. high crime rate)

b. Tier 2: Security Presence Recommended

- i. Information presented at the meeting is “Restricted”
- ii. Materials and discussions require specific caution and control
- iii. Attendee counts exceed 100, e. g. Product Launches, National Meetings, Global Conventions
- iv. Competitors scheduled in same venue
- v. Meeting space scattered throughout one venue

c. Tier 3: Security Presence is Discretionary

- i. Information presented at the meeting is “Business Use Only”
- ii. Materials and Discussion are considered a need-to-know and appropriate caution should be taken.
- iii. Attendee counts are below 100
- iv. General scientific research, general business discussions, e. g. Brand Meetings, Sales Meetings, Sales Trainings, Business Meetings, HR Meetings
- v. Meeting space is positioned on different floors of the venue
- vi. Significant IT or Business assets (un)secured to include paper or electronic assets. Please reference Novartis IGM standards for further clarifications below.

http://igm.novartis.intra/Documents/policy_framework/acceptable_use_baselines/IGM.AU.B%20001.V01.EN%20Information%20Handling.pdf

d. Tier 4: Security Presence is not Recommended

- i. Information presented at the meeting is “Public”
- ii. Materials and discussions that have been approved for dissemination to the public
- iii. Information released would have minimal to no impact to Novartis
- iv. Scientific information cleared for presenting on public conferences
- v. Healthcare company onsite has no competing products in its portfolio or pipeline
- vi. Attendee counts are below 50
- vii. Meeting space is contained to one floor.

Please report any crisis to Global Security Operations Center by phone at +1 817.551.4444 or +1 862.778.6711, or by email at rsoc.alcon@alcon.com or security.operationscenter@novartis.com

3. General Guidelines For Meetings w/o Security

Once it is determined that security will **not** be present at a meeting, the following information should be utilized as a security guideline:

- a. Competitor in-house: When choosing a meeting venue, please be cognizant of competing healthcare companies within the venue or surrounding areas.
- b. Advance: Prior to the start of the meeting, an advance should be conducted of the venue. Further information regarding the advance can be found in

the attached “Security Advance Doc.”

- c. **Registration:** Choose an accessible meeting registration area and check each attendee’s photo identification and cross reference to the master attendee list. If an attendee did not bring along a proper photo ID, please inform the attendee to return to registration with the proper documentation.
- d. **Meeting Credentials:** Badges should be worn and clearly visible at all times.
- e. **Materials:** Delivery of sensitive meeting materials to the venue should have a proper chain of custody by ensuring the hotel can provide a secure storage space prior to the arrival of meeting personnel.
- f. **Keys & Doors:** When requesting hotel keys for assigned meeting rooms, designate an onsite contact to maintain meeting room keys at all times. All doors to all meeting rooms and offices should be in working order and securable. All meeting room doors should be re-keyed and off the hotel master (front and back of house doors). Air wall doors should not be considered securable. If the doors are not securable and/or not off the master, the room should remain occupied if sensitive materials are displayed.
- g. **Meeting Material Delivery:** When delivering meeting materials to assigned meeting rooms, ensure that foot traffic into the meeting area is restricted only to attendees. If the rooms need to be refreshed, conduct a room sweep of all proprietary materials or personal belongings before the hotel staff enters the room. At the end of a meeting, it’s also recommended to sweep hotel safes and ensure no confidential materials are left behind.
- h. **Document Destruction:** Shredding services should be utilized by ordering shred bins to dispose of confidential meeting materials. The shredding service should conduct the disposal on the venue site and provide a certificate of completion. If the material is considered non-confidential, hotel shredding or shipping materials back to the office is appropriate. If Security Agents are present for the meeting, the Agents should not leave the meeting until all of the shredding has been verified and confirmed onsite.