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BUSINESS ETHICS

INTRODUCTION:

The International Alliance for Biological Standardization (referred to herein as the "Alliance" or the "IABS") is a nonprofit-making association governed by Articles 60 - 79 of the Swiss Civil Code and by the present Articles of Association (hereinafter the "Constitution").

The mission of the Alliance which is related to the scientific and medical advancement of biologicals, includes:

- To host conferences and workshops, facilitate communication, and develop consensus on key contemporary issues related to biologicals among those who discover, develop, register, produce and regulate biological products for human and animal health;
- To foster evidence-based science as the standard for improving and ensuring the quality and the safety of biological products and
- To share scientific advancements and innovative regulatory solutions through our journal Biologicals and information available through our website.

In addition, the Alliance is prepared to offer assistance to national and international organizations active in this field.

IABS and its affiliates are performing Integrity Due Diligence (IDD) to ensure that we collaborate with partners that comply with applicable laws and regulations and responsible business conduct. As part of this IDD process IABS is willing to provide to partners relevant policies and documents as supporting documents and ask for reciprocity..

DESCRIPTION OF THE ORGANISATION

The International Alliance for Biological Standardization (IABS) is an independent, non-profit scientific alliance, with headquarters in Geneva (Switzerland).

IABS was founded in 1955 in Lyon, France by a group of experts who believed that such an organization could provide a forum where data could be discussed among scientists to improve the quality and the regulation of biological products. IABS has members in over 50 countries.

Participation on international projects in the field of the IABS mission is mostly conducted by its affiliates IABS-EU and IABS-NA. The necessary management team is normally formed by IABS members and the Secretariat. Up to now no PEP* were involved.

*PEP = Politically Exposed Person, ie. individuals who are or have been entrusted with prominent public functions, for example Heads of State or of government, senior politicians, senior government, judicial or military officials, senior executives of state-owned corporations, important political party officials.

The International Alliance for Biological Standardization (IABS) (www.iabs.org) is a nonprofit organization dedicated to the scientific and medical advancement of biologicals in human and animal health by facilitating communication at an international level among academia, regulatory authorities, and industry. Our members work in the field of biologicals as professionals in universities, foundations, corporations, and international organizations around the world. In the United States, IABS is a Section 501(c) (3) charitable organization, EIN 33-0840743. All donations are deemed tax-deductible absent any limitations on deductibility applicable to a particular taxpayer.

The goal of IABS is to integrate the best specialists in the field of biologicals in its activities, irrespective of gender, skin color and origin. All experts willing to volunteer within or for IABS are welcomed.

BUSINESS ETHICS AND GOVERNANCE

Policies

As an NGO, IABS/IABS-EU follow the rule of integrity of WHO. See link: https://publicspace.who.int/sites/GEM/Profile/P00094.aspx

- Code of conduct: is laid down in the Constitutions of IABS and IABS-EU see https://www.iabs.org/privacy-policy/
- Integrity: IABS/IABS-EU follow the rule of integrity please see NSA register attached document (see Attachment)
- Conflict of interest: See https://www.iabs.org/conflict-of-interest
- Whistleblowing: IABS does not deal with confidential information from 3rd parties.
- Animal welfare: IABS does not perform research. The support of 3R approaches is part of IABS' activities
- Data protection (privacy): see https://www.iabs.org/privacy-policy/

Business Ethics Programme:

- Oversight body for ethics and compliance: The Board of Directors, according to IABS/IABS-EU Constitution. As IABS is a very small organisation no dedicated Compliance Officer or Compliance Department is established.
- IABS' conduct of Integrity: Due Diligence of third parties, including both customers and suppliers is performed as follows:
    - IABS respects the privacy of personal e-mail addresses and complies with the current legislation on data privacy and security. The objective is not to

send unwanted messages or create unwanted exposure. E-mail details will not be passed on to any other individual or organization without explicit permission.

- E-mail alerts and message are sent via social media from IABS concerning:
  IABS: the provisions of Swiss law are respected
  IABS-EU: the provisions of French law are respected
  - Projects and activities similar to those you have already received from IABS
  - Information concerning IABS conferences
  - IABS is not responsible for the privacy policy or content of any third-party website linked to our website. These third-party organizations or companies need to be checked separately for their specific privacy policies if necessary.
  - Information is collected when e-mails or our online forms are transmitted, when registering for an IABS conference. Names, mailing address, e-mail address and phone number are maintained only after explicit agreement of the data owner. when provided.
  - IABS respects privacy and has instituted policies intended to ensure that personal information is handled in a safe and responsible manner.
  - All persons can opt-out of receiving communications from IABS by sending an email to iabs@iabs.org with complete name, address and email address.
  - All persons receiving communications (e.g. Newsletters) from IABS and not opening these communications for two years are deleted from the mailing lists.
  - IABS assumes no responsibility for the data collection and use practices of third parties that process online credit card transactions.

- Corruption: As a non-profit organisation, IABS/IABS-EU only work with official authorities and organizations, that have their own policies in place.
- Gifts and hospitality: Guidelines for Speakers & Moderators to IABS/IABS-EU meetings are available including maximum amounts allocated for hospitality.

Regulatory actions:

IABS/IABS-EU are not involved in any material administrative, regulatory, or judicial enforcement action, proceeding, investigation, or inspection, warning letter, other notice of violation letter, recall, issued by any governmental authority.

COMPLIANCE WITH APPLICABLE ANTI-CORRUPTION, HUMAN RIGHTS, SANCTIONS AND OTHER RELEVANT LAWS AND REGULATIONS

IABS confirms:

- Being in compliance with the US Foreign Corrupt Practices Act, the UK Bribery Act and other applicable anti-corruption laws.
- Respecting and upholding international human rights, including in particular laws and regulations prohibiting human trafficking and slavery.
- Confirming that that use of any third parties will be in compliance with applicable anti-corruption laws.
- Confirming that no one within IABS will request, accept, offer, or give either directly or indirectly any facilitation payments, bribes, kickbacks, or other improper or illegal payments to any person or company, including Public Officials.
- Confirming that neither the organisation, nor any of its executives or employees, are under current criminal investigation or have been subject to any civil or criminal enforcement actions for improper conduct relating to bribery and corruption.
- Confirming that neither the organisation, nor any of its executives or employees, are listed on any sanction lists applicable, or subject to economic sanctions, embargoes or other similar restricted measures imposed, administered or enforced by the EU, the EU member states, the UK, the UN Security Council, the Unites States (including OFAC) or equivalent regulator of any other country that is relevant.
- Confirming that the organisation has not been on any restricted trading list maintained by any country, multi-lateral bank, or the United Nations.
- Confirming that the organisation or key persons have not been found guilty of any violations or securities, commodities trading laws or anti-trust practices.
- Confirming that IABS is not on the U.S. Food and Drug Administration's debarment list.

IABS-EU FINANCIAL DUE DILIGENCE INFORMATIONS

IABS-EU maintains its books and records in accordance with International Financial Reporting Standards (IFRS) and/or recognised accounting standards in its country of incorporation/registration.

IABS-EU has a formal internal control system in place.

All invoices are reviewed and approved by the treasurer. The project expenditure reporting is checked by an external project manager from Finovatis (Consulting company specialized in the funding, management and promotion of national and international research projects and networks)

IABS-EU has experience with international grants management.

European and similar projects: Drive, Manco, Inno4Vac, Vac2Vac, ZAPI, ASFaVIP, CEPI Musicc.

For each project, a budget (including honorariums, travel & accommodation, other costs) is approved by the consortium and expenses are allocated accordingly.

IABS-EU has experience with project audit.

All IABS-EU accounts are audited by Ernst & Young annually and CSF (Certified Financial Statement) obtained and approved for EU projects requesting CSF.

IABS-EU allocates personnel costs to projects.

The IABS consultants working on the project fill in a monthly timesheet including time spent and actions. Each timesheet is submitted to IABS-EU treasurer via a dedicated email address with the invoice.

The time sheets are justifiable within the project and towards the project sponsor at any time.