

	<b>Global Procurement and</b> <b>Title: Supplier Code of Conduct</b> <b>Policy</b>	<b>Policy</b>	<b>CAL-PRO-PO-002</b>
	<b>Area: Supply Chain Management</b>	<b>Initial Issue Date:</b>	<b>03/16/2020</b>
	<b>Approval: Director of Procurement</b>	<b>Version:</b>	<b>Original</b>
	<b>Page 1 of 9</b>	<b>Revision Date:</b>	

## TABLE OF CONTENTS

<b>1.0</b>	<b>PURPOSE</b> .....	<b>2</b>
<b>2.0</b>	<b>SCOPE</b> .....	<b>2</b>
<b>3.0</b>	<b>RESPONSIBILITY</b> .....	<b>2</b>
<b>4.0</b>	<b>DEFINITIONS</b> .....	<b>2</b>
<b>5.0</b>	<b>PROCEDURE</b> .....	<b>2</b>
	5.1 Human Rights .....	3
	5.2 Restricted Party Screening .....	3
	5.3 Employment Practices.....	4
	5.4 Anti-Corruption.....	4
	5.5 Conflict of Interest.....	5
	5.6 Information Protection.....	6
	5.7 Environment, Health, and Safety.....	6
	5.8 Global Trade Compliance.....	6
	5.9 Quality.....	7
	5.10 Ethics Program Expectations.....	8
<b>6.0</b>	<b>COMPLIANCE</b> .....	<b>8</b>
	6.1 Maintain Accurate Records.....	8
<b>7.0</b>	<b>REFERENCES &amp; FORMS</b> .....	<b>9</b>
<b>8.0</b>	<b>RECORD RETENTION AND DISPOSITION</b> .....	<b>9</b>
<b>9.0</b>	<b>REVISION HISTORY</b> .....	<b>9</b>

	<b>Global Procurement and</b> <b>Title: Supplier Code of Conduct</b> <b>Policy</b>	<b>Policy</b>	<b>CAL-PRO-PO-002</b>
	<b>Area: Supply Chain Management</b>	<b>Initial Issue Date:</b>	<b>03/16/2020</b>
	<b>Approval: Director of Procurement</b>	<b>Version:</b>	<b>Original</b>
	<b>Page 2 of 9</b>	<b>Revision Date:</b>	

## 1.0 PURPOSE

The purpose of this Policy is to ensure Caliburn procures goods and services from third party providers (suppliers) who meet and/or exceed ethical and legal obligations set by law, regulation, Caliburn Corporate Policy and our customers policies/regulations. Furthermore, Caliburn expects our suppliers to maintain full compliance with all laws, regulations and all appropriate Caliburn/customer policies.

## 2.0 SCOPE

This policy applies to all employees and suppliers of Caliburn and its legacy companies at any location on or off Caliburn properties at all worksites and locations, both foreign and domestic. When conducting international business, or if their primary place of business is outside the United States, suppliers must also comply with local laws and regulations. This policy is not intended to communicate a comprehensive list of applicable legal or regulatory requirements, but instead serves to highlight high-priority standards that Caliburn and its suppliers must meet.

## 3.0 RESPONSIBILITY

### 3.1 Caliburn Subcontract Administrators/Buyers

It is the responsibility of all Subcontract Administrators/Buyers to include FAR 52.203-13, Contractor Code of Business Ethics and Conduct, in all subcontracts/purchase orders with a value in excess of \$5.5M and a performance period of more than 120 days. Furthermore, this policy should be included in all solicitation for subcontracts/purchase orders with a value in excess of the current Micro-purchase Threshold.

### 3.2 Suppliers

It is the responsibility of all supplier personnel who interact with or on behalf of Caliburn to implement and maintain this policy. Suppliers who have related question/concerns or who cannot meet their obligations under this policy must notify their Caliburn contractual point of contact immediately.

## 4.0 DEFINITIONS

(Reserved)

## 5.0 PROCEDURE

This section and sub-sections detail steps, actions, or considerations, to be utilized when carrying out procedure/process directives.

	<b>Global Procurement and</b> <b>Title: Supplier Code of Conduct</b> <b>Policy</b>	<b>Policy</b>	<b>CAL-PRO-PO-002</b>
	<b>Area: Supply Chain Management</b>	<b>Initial Issue Date:</b>	<b>03/16/2020</b>
	<b>Approval: Director of Procurement</b>	<b>Version:</b>	<b>Original</b>
	<b>Page 3 of 9</b>	<b>Revision Date:</b>	

*This Supplier Code of Conduct is in no way intended to conflict with or modify the terms and conditions of any existing contract. In the event of a conflict, suppliers must first adhere to applicable laws and regulations, then the contract terms, followed by this Supplier Code of Conduct.*

## 5.1 Human Rights

We expect our suppliers to treat people with respect and dignity, encourage diversity, remain receptive to diverse opinions, promote equal opportunity for all, and foster an inclusive and ethical culture.

### a. Child Labor

We expect our suppliers to ensure that illegal child labor is not used in the performance of work. The term “child” refers to any person under the minimum legal age for employment where the work is performed.

### b. Human Trafficking

Suppliers must adhere to regulations prohibiting human trafficking and comply with all applicable local laws in the country or countries in which they operate. Suppliers must refrain from violating the rights of others and address any adverse human rights impacts of their operations. Suppliers must educate employees on prohibited trafficking activities, discipline employees found to have violated the law or rules and notify the contracting officer of violations and action taken against employees.

Specifically, suppliers will be prohibited from the following in all contracts:

- Destroying, concealing, or confiscating identity or immigration documents;
- Using misleading or fraudulent tactics in recruiting;
- Charging employee recruitment fees or providing inadequate housing based on local standards, laws and directives;
- Failing to provide employment contracts and other documentation in the employee’s native language;
- Failing to provide return transportation upon the end of employment for employees brought to the country for the purpose of working on a U.S. government contract or subcontract; and
- Failing to interview and protect employees suspected of being trafficking victims.

## 5.2 Restricted Party Screening

U.S. and other applicable national and international export control and trade sanction laws prohibit doing business with certain individuals and entities that appear on government denied and restricted parties lists (“Denied Persons”). Caliburn will not engage in business relationships – whether with a worker, contractor, vendor, supplier,

	<b>Global Procurement and Title: Supplier Code of Conduct Policy</b>	<b>Policy</b>	<b>CAL-PRO-PO-002</b>
	<b>Area: Supply Chain Management</b>	<b>Initial Issue Date:</b>	<b>03/16/2020</b>
	<b>Approval: Director of Procurement</b>	<b>Version:</b>	<b>Original</b>
	<b>Page 4 of 9</b>	<b>Revision Date:</b>	

subcontractor, consultant, licensor, agent, joint venture partner or other third party – without screening. For Caliburn, this mandatory screening process currently consists of utilizing screening tools such as Visual Compliance and the U.S. Government’s System for Award Management to screen third parties and their owners in order to ascertain eligibility for award of third-party agreements.

### 5.3 Employment Practices

#### a. Harassment

We expect our suppliers to ensure that their employees are afforded an employment environment that is free from physical, psychological, and verbal harassment, or other abusive conduct.

#### b. Non-discrimination

We expect our suppliers to provide equal employment opportunity to employees and applicants for employment, without regard to race, ethnicity, religion, color, sex, national origin, age, military veteran status, ancestry, sexual orientation, gender identity or expression, marital status, family structure, genetic information, or mental or physical disability, so long as the essential functions of the job can be competently performed with or without reasonable accommodation.

#### c. Substance abuse

We expect our suppliers to maintain a workplace free from illegal use, possession, sale, or distribution of controlled substances.

### 5.4 Anti-Corruption

#### a. Anti-Corruption Laws

Our suppliers must comply with the anti-corruption laws, directives and/or regulations that govern operations in the countries in which they do business, such as the U.S. Foreign Corrupt Practices Act and the U.K. Bribery Act. We require our suppliers to refrain from offering or making any improper payments of money or anything of value to government officials, political parties, candidates for public office, or other persons. This includes a prohibition on facilitating payments intended to expedite or secure performance of a routine governmental action like obtaining a visa or customs clearance, even in locations where such activity may not violate local law. Personal safety payments are permitted where there is an imminent threat to health or safety.

	<b>Global Procurement and Title: Supplier Code of Conduct Policy</b>	<b>Policy</b>	<b>CAL-PRO-PO-002</b>
	<b>Area: Supply Chain Management</b>	<b>Initial Issue Date:</b>	<b>03/16/2020</b>
	<b>Approval: Director of Procurement</b>	<b>Version:</b>	<b>Original</b>
	<b>Page 5 of 9</b>	<b>Revision Date:</b>	

We expect our suppliers to exert due diligence to prevent and detect corruption in all business arrangements, including partnerships, joint ventures, offset agreements, and the hiring of consultants.

**b. Illegal Payments**

Our suppliers must not offer any illegal payments to, or receive any illegal payments from, any customer, supplier, their agents, representatives or others. The receipt, payment, and/or promise of monies or anything of value, directly or indirectly, intended to exert undue influence or improper advantage is prohibited. This prohibition applies even in locations where such activity may not violate local law.

**c. Anti-Trust**

Our suppliers must not fix prices or rig bids with their competitors. They must not exchange current, recent, or future pricing information with competitors. Our suppliers must refrain from participating in a cartel.

**d. Conflicts of Law**

Caliburn's suppliers may encounter situations where local law appears to be inconsistent with U.S. or other applicable national laws. If any potential conflict of law occurs, supplier must contact Caliburn's Contractual point of contact or corporate Ethics Officer ([ethics@caliburnintl.com](mailto:ethics@caliburnintl.com)) to ensure that Caliburn can take the necessary steps to remain in full compliance with all applicable laws.

**e. Gifts/Business Courtesies**

We expect our suppliers to compete on the merits of their products and services. The exchange of business courtesies may not be used to gain an unfair competitive advantage. In any business relationship, our suppliers must ensure that the offering or receipt of any gift or business courtesy is permitted by law and regulation, and that these exchanges do not violate the rules and standards of the recipient's organization, and are consistent with reasonable marketplace customs and practices.

**f. Insider Trading**

Our suppliers and their personnel must not use material, non-publicly disclosed information obtained in the course of their business relationship with us as the basis for trading or for enabling others to trade in the securities of our company or those of any other company.

	<b>Global Procurement and</b> <b>Title: Supplier Code of Conduct</b> <b>Policy</b>	<b>Policy</b>	<b>CAL-PRO-PO-002</b>
	<b>Area: Supply Chain Management</b>	<b>Initial Issue Date:</b>	<b>03/16/2020</b>
	<b>Approval: Director of Procurement</b>	<b>Version:</b>	<b>Original</b>
	<b>Page 6 of 9</b>	<b>Revision Date:</b>	

## 5.5 Conflict of Interest

We expect our suppliers to avoid all conflicts of interest or situations giving the appearance of a potential conflict of interest in their dealings with our company. We expect our suppliers to provide notification to all affected parties in the event that an actual or potential conflict of interest arises. This includes a conflict between the interests of our company and personal interests or those of close relatives, friends or associates.

## 5.6 Information Protection

### a. Confidential/Proprietary Information

We expect our suppliers to properly handle sensitive information, including confidential, proprietary, and personal information. Information should not be used for any purpose (e.g., advertisement, publicity, and the like) other than the business purpose for which it was provided, unless there is prior authorization from the owner of the information.

### b. Intellectual Property

We expect our suppliers to respect and comply with all the laws governing intellectual property rights assertions, including protection against disclosure, patents, copyrights, and trademarks.

### c. Information Security

Suppliers must protect the confidential and proprietary information of others, including personal information, from unauthorized access, destruction, use, modification and disclosure, through appropriate physical and electronic security procedures. Suppliers must comply with all applicable data privacy laws. Suppliers shall assure extension of this requirement to all sub-tier sources they employ.

## 5.7 Environment, Health and Safety

We expect our suppliers to operate in a manner that actively manages risk, conserves natural resources, and protects the environment. We expect our suppliers to apply environmental management system principles in order to establish a systematic approach to the management of risks/hazards and opportunities associated with the environment, including potential risk from regulatory non-compliance, reputational loss, and opportunities for business growth through operational and product stewardship. We expect our suppliers to comply with all applicable environmental, health and safety laws, regulations, and directives. Suppliers should protect the health, safety, and welfare of their people, visitors, and others who may be affected by their activities.

	<b>Global Procurement and</b> <b>Title: Supplier Code of Conduct</b> <b>Policy</b>	<b>Policy</b>	<b>CAL-PRO-PO-002</b>
	<b>Area: Supply Chain Management</b>	<b>Initial Issue Date:</b>	<b>03/16/2020</b>
	<b>Approval: Director of Procurement</b>	<b>Version:</b>	<b>Original</b>
	<b>Page 7 of 9</b>	<b>Revision Date:</b>	

## 5.8 Global Trade Compliance

### a. Security

When applicable, suppliers are encouraged to implement practices and procedures to ensure the security of their supply chains in accordance with the Customs-Trade Partnership Against Terrorism initiative of the United States Department of Homeland Security.

### b. Import

We expect our suppliers to ensure that their business practices are in accordance with all applicable laws, directives and regulations governing the import of parts, components, and technical data.

### c. Export

We expect our suppliers to ensure that their business practices are in accordance with all applicable laws, directives and regulations governing the export of parts, components, and technical data.

### d. Anti-Boycott

Our suppliers must not participate in, cooperate with, or further the cause of any unsanctioned foreign economic boycott, in accordance with the 1977 Export Administration Act and the 1976 Tax Reform Act.

### e. Conflict Minerals

Suppliers must adhere to federal laws and regulations requiring reporting companies to make specialized disclosure and conduct due diligence concerning their use of conflict minerals that may have originated in the Democratic Republic of the Congo (DRC) or an adjoining country. Conflict minerals include cassiterite, columbite-tantalite, gold and wolframite, or their derivatives (tantalum, tin, and tungsten). Under the Securities Exchange Act of 1934, reporting companies that manufacture or contract to manufacture products that contain conflict minerals must conduct due diligence on the source and chain of custody of the applicable conflict minerals, and file a report with the SEC by May 31, 2014. We expect our suppliers to develop due diligence processes to meet our obligations to ensure that all products are responsibly manufactured.

	<b>Global Procurement and</b> <b>Title: Supplier Code of Conduct</b> <b>Policy</b>	<b>Policy</b>	<b>CAL-PRO-PO-002</b>
	<b>Area: Supply Chain Management</b>	<b>Initial Issue Date:</b>	<b>03/16/2020</b>
	<b>Approval: Director of Procurement</b>	<b>Version:</b>	<b>Original</b>
	<b>Page 8 of 9</b>	<b>Revision Date:</b>	

## 5.9 Quality

### a. Work Product

Suppliers must take due care to ensure their work product meets our company's quality standards. We expect our suppliers to have in place quality assurance processes to identify defects and implement corrective actions, and to facilitate the delivery of a product whose quality meets or exceeds the contract requirements.

### b. Counterfeit Parts

We expect our suppliers to develop, implement, and maintain methods and processes appropriate to their products to minimize the risk of introducing counterfeit parts and materials into deliverable products. Effective processes should be in place to detect counterfeit parts and materials, provide notification to recipients of counterfeit product(s) when warranted, and exclude them from the delivered product.

## 5.10 Ethics Program Expectations

### a. Whistleblower Protection

We expect our suppliers to provide their employees with avenues for raising legal or ethical issues or concerns without fear of retaliation. We expect our suppliers to take action to prevent, detect, and correct any retaliatory actions.

### b. Consequences for Violating Code

In the event of a violation of any of the above expectations, we may pursue corrective action to remedy the situation. In the case of a violation of law or regulation, we may be required to report those violations to proper authorities. We reserve the right to terminate our relationship with any supplier under the terms of the existing procurement/purchasing contract.

### c. Ethics Policies

Commensurate with the size and nature of their business, we expect our suppliers to have management systems in place to support compliance with laws, regulations, and the expectations related to or addressed expressly within this Supplier Code of Conduct. We encourage our suppliers to implement their own written code of conduct and to flow down the principles of a code of conduct to the entities that furnish them with goods and services.

	<b>Global Procurement and Title: Supplier Code of Conduct Policy</b>	<b>Policy</b>	<b>CAL-PRO-PO-002</b>
	<b>Area: Supply Chain Management</b>	<b>Initial Issue Date:</b>	<b>03/16/2020</b>
	<b>Approval: Director of Procurement</b>	<b>Version:</b>	<b>Original</b>
	<b>Page 9 of 9</b>	<b>Revision Date:</b>	

## 6.0 COMPLIANCE

We expect our suppliers to maintain full compliance with all laws and regulations applicable to their business. When conducting international business, or if their primary place of business is outside the United States, suppliers must comply with local laws and regulations.

### 6.1 **Maintain Accurate Records**

We expect suppliers to create accurate records, and not alter any record entry to conceal or misrepresent the underlying transaction represented by it. All records, regardless of format, made or received as evidence of a business transaction must fully and accurately represent the transaction or event being documented. When a record is no longer needed to conduct current business, records should still be retained based on the applicable retention requirements. Suppliers performing as US Government contractors (whether direct or indirect) must comply with the requirements in FAR 4.703. Suppliers that are performing or fulfilling a US Government role in their prescribed work must comply with the records requirements of the affected agency and any relevant National Archives and Records Administration (NARA) requirements that apply to that agency.

## 7.0 REFERENCES and/or FORMS

CAL-EC-PO-004 Global Anti-Corruption Policy - V1 - AUG 2019  
 CAL-PRO-PO-003 Ethics in Procurement

## 8.0 RECORD RETENTION AND DISPOSITION

(Reserved)

## 9.0 REVISION HISTORY

The Revision History table summarizes the changes made to the document content from previous version along with pertinent details outlining the rationale for the changes, the primary point of contact (POC) who made the changes, and the date the changes were made.

Revision	Description of Change	Reason for Change	Update POC	Date
00				

Printed versions may be obsolete; validate prior to use.

This Policy is available on the Caliburn Intranet, under PolicyManager <https://caliburn.policymanager.net/>

Caliburn - Confidential