



Code of Conduct



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Message from our Director

At Triad, we are strongly committed to Los Alamos National Laboratory's scientific and technological excellence, driving the lab's culture of operational excellence and ensuring the continued high quality and integrity of its critical national security missions. We are also committed to give back to our communities, with a goal to make the world better for generations to come.

We are focused on creating systematic, enduring culture change, resulting in sustainable performance excellence. We will deliver stockpile stewardship and management expertise; enhance mission-focused science, technology and engineering; and provide safe, secure and reliable operations as well as comprehensive mission assurance.

To do so, we each have a responsibility to conduct ourselves in accordance with the highest standards of integrity. This is the expectation for all Triad staff, regardless of their talent, position or performance. No one is above the rules and no business or mission objective is worth achieving if we have to sacrifice our integrity to do so.

As part of our commitment to a culture of transparency and one where staff feel free to express concerns or raise issues without hesitation or fear of retaliation, we have established a new Employee Concerns Hotline. Information on this hotline, managed by a third-party vendor, are included below.

This Code of Conduct articulates many of the laws and policies that apply to all of us in our work at the Laboratory. We expect you to read and understand these materials and ask questions if something is unclear. We need you to be an active supporter of our mission and a committed steward of our culture, leading by example with respect to our commitment to ethical behavior.



Dr. Thomas Mason
Director, Los Alamos National Laboratory
President and Chief Executive Officer, Triad National Security, LLC



About Triad

Triad is a nonprofit, public service-focused organization comprised of three members: Battelle, The Texas A&M University System and the University of California.

Collectively, this team brings more than 120 years of national laboratory management and operating experience. All three members are nonprofits dedicated to national service, enabling Triad to manage and operate Los Alamos National Laboratory (the Laboratory or LANL) for the National Nuclear Security Administration in the best interest of the Laboratory and the nation.

The Triad Team also includes two integrated subcontractors (Fluor and Huntington Ingalls Industries) and three small business subcontractors (Longenecker & Associates, Merrick-SMSI and TechSource).

Employee Responsibilities

Code of Conduct Compliance

Triad takes its legal and ethical obligations seriously. To fulfill its obligations, each of us must commit to our Laboratory agenda and comply with the standards established in this Code of Conduct.

Reporting Concerns

STAFF

Triad is committed to a culture of transparency, and one where staff feel free to express concerns or to raise issues without hesitation or fear of retaliation. To foster this culture, all of us must report instances of improper conduct, unsafe conditions, conflicts of interest, violations of law or policy, or other irregularities. You are encouraged, as determined by your own comfort level, to use any of the following for reporting concerns:

- 1) Your manager,
- 2) Ethics and Audit-Ethics and Compliance (EA-Ethics),
- 3) Human Resources-Employee Relations (HR-ER),
- 4) The Office of General Counsel, or if absolute confidentiality is paramount,
- 5) The Employee Concerns Hotline or Website (844.537.9524 or <https://lanl.ethicspoint.com>)

This is a new hotline established during transition by Triad. You may report your concerns on an anonymous basis to the Hotline or Website, which is hosted by a secure, external party, allowing you to retain anonymity and correspond through this third party.

In addition to these resources, you have the right to report directly to the Department of Energy (DOE) as follows:

- Employee Concerns Program for the Los Alamos Field Office Hotline – (505) 667-2524 or (800) 688-5713
- DOE Fraud, Waste, and Abuse Hotline – (800) 541-1625

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- DOE Office of the Inspector General Hotline – (202) 586-4073, IGHotline@hq.doe.gov, or <https://www.energy.gov/ig/complaint-form>
- DOE Albuquerque Employee Concerns Hotline – (844) 799-8855 or employeeconcernsprogram@doe.gov

MANAGERS

Managers must promptly report possible violations of law or policy raised by their staff to Human Resources, EA-Ethics, Office of General Counsel, or the Employee Concerns Hotline or Website. LANL will review all reported incidents or concerns to determine whether an investigation is appropriate. LANL has a formal process for conducting internal investigations that is overseen by senior management. This process is designed to identify whether a violation of law or policy has occurred and to determine what (if any) disciplinary action should be taken.

Mandatory Disclosure

As a government contractor, we must disclose timely information to the appropriate government officials of credible evidence of certain violations of federal criminal law including fraud, conflict of interest, bribery, and gratuities found in Title 18 of the United States Code; violations of the civil False Claims Act; and significant overpayments on government contracts. As a reflection of our desired culture and to ensure Triad is complying with these obligations, we must all promptly report any concerns regarding such matters.

Retaliation Will Not Be Tolerated

We must foster an environment in which we all feel free to express concerns and to raise issues without fear of retaliation. Retaliation for the good faith reporting of a concern regarding any suspected instances of improper conduct, violation of law, regulation, or policy, or for participating in an investigation, is unacceptable and will not be tolerated. Staff should report any suspicion of such behavior to Human Resources, the Employee Concerns Hotline or Website, or EA-Ethics. A report made by staff may also be protected from retaliation under certain laws and regulations, such as a whistleblower law or DOE's Contractor Employee Protection Program.

Responsible Research Conduct

Scientific Integrity

Scientific excellence is a foundational element of Triad's mission at Los Alamos National Laboratory that depends upon objective, honest observation, analysis, and reporting. We must perform our work with integrity in accordance with the highest ethical and professional standards.

Objectivity

LANL staff who are engaged in research are expected to maintain proper scientific objectivity. This means that we must recognize the responsibility common to engineers,

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scientists, and other professionals of maintaining public confidence and peer credibility by seeking and stating the truth as we understand it.

Triad further protects its and the Laboratory's reputation for objectivity by not endorsing, certifying, or approving other companies' products, services, or investments and not allowing others to use Triad's or the Laboratory's name or information in any advertising, sales promotion, efforts to raise capital, investment activities, sale of securities, or in any way that implies an endorsement, certification, or approval by Triad or the Laboratory.

Use and Protection of Property and Technical Data

Classified Information

Triad is required to establish and maintain policies and procedures to protect all classified information received from the government or generated by the Laboratory. Pursuant to this requirement, we must remember these key points:

- Access to classified information is to be allowed only to authorized persons who have been cleared for the level of information, such as Confidential, Secret, or Top Secret for the Department of Defense and "L" or "Q" for the Department of Energy.
- Classified information should be released only to authorized individuals on a "need to know" basis.
- Review of classified information must take place only in secured areas and removal of classified information from the facility must be specifically authorized by the government.

We must all properly handle classified information, including its storage, shipping, reproduction, and destruction, in accordance with applicable government rules and LANL policies. Staff authorized to have access to classified information, must be familiar with the applicable security restrictions under government regulations and LANL's policies to implement its relevant contract requirements.

No Outside Use of Laboratory Information

Staff may not use or disclose technical data or privileged information obtained through work at the Laboratory for personal purposes, to gain an unfair advantage in the purchase of goods or services, or for any unauthorized activity. This requirement is ongoing and generally continues even after you leave your employment with Triad.

Rights to Intellectual Property

The Laboratory's ability to apply the results of its own scientific research and to effectively meet its congressionally-mandated technology transfer mission depends upon appropriate intellectual property management. We all have an obligation to report to the Electronic Invention Disclosure Reporting (e-IDR) at <http://eidr.lanl.gov> any inventions developed during our employment by Triad and to support the Laboratory's efforts to protect such inventions. We must also respect the intellectual property (IP) laws and the IP rights of others by complying with the conditions of license agreements entered into by Triad and by using only authorized and properly licensed copies of software.

Protecting Proprietary Information

We must all work to protect Triad's and the Laboratory's proprietary, controlled or sensitive information by marking information with appropriate restrictive legends and distributing such information appropriately. If you have access to information about other LANL staff or personally identifiable information of other individuals, this information should be protected in accordance with LANL policy.

If you have knowledge of third-party proprietary information, you should ensure that the third-party proprietary information is not brought into LANL or used by LANL without the third party's authorization. Questions regarding the status of third-party information should be directed to The Office of the General Counsel.

Export Control

U.S. law imposes restrictions on exports and other dealings with certain countries, entities, and individuals, including foreign nationals. Triad and all staff must comply with applicable U.S. export control laws and regulations, such as the Export Administration Regulations (EAR) and the International Traffic in Arms Regulations (ITAR). As such, we must all appropriately limit distribution of documents and other materials marked as export controlled under the EAR or ITAR and must appropriately mark documents and materials that may be controlled. When questions arise as to controlled status, staff should consult with Laboratory Safe-IP.

Stewardship of Property

Triad has stewardship responsibilities for government and sponsor property. We must all use such property with proper care for authorized purposes only. Use of LANL, government, or sponsor resources may be accessed and/or monitored by or at the direction of management at any time, consistent with security requirements. You should not have an expectation of privacy when using any such resources, including Laboratory systems used for email, network, internet, and telephone communications. Incidental personal use of LANL property, equipment, facilities, and resources is permitted; use greater than incidental is allowed only with the specific prior management approval and only in an appropriate manner. Any permitted personal use must be on your personal time. Sponsor-owned property should be used only in furtherance of the sponsor's project and should never be used for personal purposes or for the benefit of other sponsors.

Cyber Security

The protection of the Laboratory's computing and network resources, and the information that resides therein, is of critical importance to Triad. Use of LANL network and computing resources is a privilege extended to our staff to allow them to do their work more efficiently and effectively. Staff are responsible for understanding the rules that apply to their use of LANL's computing and network resources and for complying with those rules.

Avoiding Conflicts of Interest

Personal Conflicts of Interest

We have all agreed to serve Triad faithfully and to the best of our ability. To accomplish this goal, staff must be free of any influence, interest, or relationship that actually or potentially

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conflicts with the best interests of Triad, the Laboratory, the government, or other Laboratory sponsors, could cause embarrassment or public criticism of Triad or LANL, or could interfere with staff's ability to perform his or her job duties. We must consider the following principles:

- Staff may not have a compensated or uncompensated employment or professional relationship in another organization or business, including a sole proprietorship, without a prior written approval from LANL except as outlined in LANL's policies. Additional principles that are considered when LANL considers approval of such relationships are:
 - Staff should not render services for any entity that provides or competes for the same services offered at LANL
 - Staff should not be a principal or significant investor, directly or indirectly, in an organization that either contracts with or competes against Triad, its affiliates, or any LANL sponsor.
 - If staff are involved in any business negotiations, contracting, purchasing, or other role in which they could influence any Triad business transaction, they should not have a relationship with or an interest in any other party or parties to the transaction.
 - Staff should not use LANL property, their position or other resources for personal gain or to compete with Triad.
 - Staff should not engage in an outside activity that, because of level of effort, harms their ability to complete their LANL work responsibilities.

Staff should contact EA-Ethics or their manager for assistance with personal conflicts of interest questions.

Organizational Conflicts of Interest

Appropriately managing Organizational Conflict of Interest (OCI) requirements is central to Triad's operations. Federal Acquisition Regulation (FAR) Section 9.5 contemplates three situations in which conflicts may arise:

- A "bias" situation in which a contractor has the opportunity to draft specifications or a statement of work for a later procurement, thus creating the possibility that it could skew the competition in its favor.
- An "impaired objectivity" situation in which a contractor has some relationship or interest, such as a share of the proceeds on the sale of a product or an equity or ownership interest, or where the contractor may be called upon to review its own work or the work of a closely related entity.
- An "unequal access to information" situation in which the contractor may gain a competitive edge because of its access to information that is not available to other competitors.

Staff should contact The Office of the General Counsel or EA-Ethics for assistance with OCI questions, or contact Procurement for assistance with OCIs related to a procurement.

Laws and Policies of General Applicability

Equal Employment Opportunity

Triad provides employment and opportunities for advancement, compensation, training, and growth according to individual merit, without regard to race, color, religion, sex, national origin, sexual orientation, gender identity, marital status, veteran status, age, genetic information, or disability. We comply with all United States immigration laws and regulations, including those relating to work visas and hiring foreign persons.

Harassment

Triad is committed to providing a work environment that is free of harassment. Harassment of any type, including sexual harassment and harassment based on race, color, religion, gender, national origin, age, disability, or sexual orientation, or gender identity is strictly prohibited. We all have an affirmative duty to maintain a work environment free of harassment to ensure that all staff are treated with respect and dignity.

Human Trafficking

Triad has a zero-tolerance policy regarding trafficking in persons. Neither LANL staff nor any LANL consultant, contractor, subcontractor, vendor or supplier shall be involved in the following activities: trafficking in persons, soliciting or obtaining prostitution or any commercial sex act, or using debt bondage, slave, forced or child labor. Staff must report possible violations of this policy by any employees or any consultant, contractor, subcontractor, vendor, or supplier to the Employee Concerns Hotline or Website.

Safe Workplace

Safety is core to the Laboratory's operations. We are all responsible for working safely, protecting the safety and health of others, promptly reporting at-risk behaviors or conditions, and stopping work when observing imminent danger. Staff should notify management, or the appropriate representative designated to oversee matters of employee safety of any issues or concerns regarding health, safety practices, and environmental issues. Managers are responsible for providing an environment where work can be performed safely and where environmental, safety and health concerns can be readily brought forward without fear of retaliation.

Triad does not tolerate any type of workplace violence. Workplace violence includes all actions or threats, by staff or non-staff, that are violent in nature. Staff should try to protect one another from the dangers of any illegal activity in or near the workplace by immediately reporting any suspicious activity to the appropriate Security Office.

Drug-Free Workplace

Triad maintains a workplace free of drug or other substance abuse. Staff are prohibited from illegally manufacturing, distributing, dispensing, possessing, using, or being under the influence of a controlled substance, prescription drugs or alcohol while on Laboratory premises or conducting Triad business. Triad is committed to fully cooperating with the government on such issues, including compliance with applicable regulations, contract

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requirements, and the requirements to notify the government of drug-related violations by employees.

Time Recording

The primary cost to the government and sponsors of our work is the direct labor of our staff. Therefore, we all must accurately record the time we work. You should not charge an incorrect time code (e.g. time worked versus vacation), amount of time worked, account or cost objective, or shift costs or approve such mischarging. Staff should record their time worked daily and weekly timecard entry is required except when on travel, leave or other exceptional circumstances. By signing your timecard, you are certifying that your time is being charged in accordance with LANL's time charging policies and procedures. Managers are responsible for reviewing and approving the time charges made by staff. Questions regarding time recording procedures or the proper account or cost objective for a specific activity should be discussed with your manager.

Travel and Other Expenses/Costs

We must properly document and charge applicable expenses, purchases, facilities charges, and equipment usage rates to the correct account or cost objective for which they were incurred. LANL only reimburses authorized, reasonable and actual expenses incurred and the Federal Travel Regulations (FTR) meal per diem while conducting business on behalf of the Laboratory. Staff are responsible for ensuring that travel, hotel, meal, business development, and other business expenses are consistent with LANL policies on reimbursement. False, inflated, or misidentified costs (such as charges for alcohol reported as other types of allowable cost) submitted for reimbursement are in violation of LANL policy. Questions regarding the appropriateness of a business expense should be directed to your manager.

Conflict Minerals

Triad supports the ending of violence and human rights violations emanating from mining operations in the Democratic Republic of the Congo or adjoining countries (Conflict Region). If a LANL supplier discloses that its product contains a conflict mineral (gold, tin, tantalum, and tungsten), LANL will attempt to identify an alternate supplier.

Records Management

We are all responsible for creating accurate, complete and reliable records, and maintaining any business records in our care. LANL's sponsors and regulatory authorities require that our records be maintained and retained in accordance with applicable laws and regulations. LANL's Records Retention Schedule defines how long to retain particular records. Staff should not remove, destroy, mutilate, damage or dispose of, in whole or in part, any LANL records unless the records have met the retention requirements listed in the Records Retention Schedule. Questions regarding records management should be directed to the Records Management Office.

Delegations of Authority

Only staff with written delegations of signature authority may make commitments or sign documents which bind Triad. Staff without such authority must be careful not to give the

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impression to third parties that they have such authority by making oral or written commitments or signing documents which bind Triad or affect Triad's legal rights.

Bribes, Kickbacks, Gifts, and Gratuities

None of us should offer, give, solicit, or accept a bribe or kickback. Likewise, we may not solicit any gift or gratuity (i.e., anything of value) from a person or organization related to Triad or the Laboratory. Staff may, however, accept unsolicited nominal gifts and ordinary business entertainment from those with whom Triad does business. Staff should take special care and review LANL's applicable policies and procedures when giving or offering anything of value to federal or state government employees as special rules apply. Questions regarding gifts or gratuities should be directed to EA-Ethics or Office of the General Counsel.

Lobbying

Lobbying activity covers a broad range of formal and informal contacts and communications at the Federal, state and local government level. Triad is subject to prohibitions on using appropriated funds to conduct any lobbying activities, and Triad and its subcontractors are prohibited from charging the government for the costs of influencing or attempting to influence any elected or government official in connection with contract, grant, or cooperative agreement actions.

LANL staff may have routine interactions with federal agencies unrelated to a specific solicitation or funding opportunity. When it is not related to a specific solicitation, it is permissible to have discussions regarding the qualities, characteristics, and capabilities of the Laboratory's products or services, or the terms and conditions of sale, and technical discussions and other activities regarding the application or adaptation of Triad's products or services. If conducted prior to a formal solicitation, it is acceptable to provide unsolicited information necessary for an agency to make an informed decision about the initiation of a contract action and to have technical discussions regarding the preparation of an unsolicited proposal prior to submission.

Questions about lobbying should be directed to Government Affairs and Protocol (GAP) or Office of the General Counsel.

Political Activity

LANL resources may not be used to support any political candidate's campaign for election to any Federal, state, local or foreign public office. No LANL or government funds can be used to make contributions to any candidate for public office, nor may LANL reimburse any staff for their personal campaign contributions. While staff are encouraged to personally participate in the political process as a matter of good citizenship, they must do so on their own time and expense or while using their voting leave time.

Securities Regulations

Triad does not participate in any activities for sponsors or other third parties that involve raising capital, attracting investors or offering or selling securities of any kind. Contacts on behalf of Triad to the investment community (i.e., investment bankers, commercial bankers, venture capitalists, potential third-party investors, financial advisors, valuation firms, or other

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financial organizations) must be coordinated through LANL's Chief Financial Officer and Office of the General Counsel, or their designee(s).

Antitrust

Staff are responsible for ensuring that LANL business is conducted in compliance with state and Federal antitrust laws, as well as the antitrust laws of any applicable foreign jurisdiction. Generally, antitrust laws prohibit joint action, by means of conspiracies, agreements and other understandings between two or more competitors, regarding prices, customers, territories, and other policies or conduct that unreasonably restrain competition. Staff must not engage in any discussions, exchanges of information, or make any agreements that are anticompetitive in nature. Questions regarding possible antitrust situations should be directed to The Office of General Counsel.

**Remember to always do the right thing and report
concerns to your Manager or to the Employee
Concerns Hotline or Website:**

844.537.9524

or

<https://lanl.ethicspoint.com/>



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