

Service Provider Requirements for Employee Screening for Unescorted Access

The following contains the minimum requirements for background checks for Service Provider personnel to work unescorted at GEH (and GNF and GLE) facilities for work not involving classified information, safeguards information (SGI), radioactive materials in quantities of concern (RAMQC), and unescorted access at power reactors or certain GEH facilities. Additional requirements apply to these last listed activities. **These requirements are consistent with GEH Master Services Agreement, Schedule C, Revision 3, dated August 21, 2015.**

To the extent permissible by applicable law, if (i) unescorted access to any Company location, facility, or worksite; (ii) deploying any Supplier Personnel to perform Services at any Company customer location, facility, or worksite; or (iii) granting access to Company networks (i.e., having a GE-issued single sign-on account) is required, Supplier shall, before any such access is granted:

1. Conduct **background screening** as follows:

1.1. Verify Supplier Personnel's identity (e.g., using social security numbers and credit reporting databases to verify identity gaps); Verify such Supplier Personnel's identity (e.g., using social security numbers and credit reporting databases to verify identity gaps);

1.2. Perform watch lists screening to ensure that no Supplier Personnel are included on the following government or organization lists, and not place any Supplier Personnel that are identified on such lists:

- Consolidated List of Financial Sanctions Targets (formerly the Bank of England Consolidated List)
- Bureau of Industry and Security Lists
- Consolidated List – Australia
- Consolidated List – Canada
- DTC Debarred List
- EU Consolidated List
- FBI Most Wanted Terrorists
- FBI Seeking Information
- FBI Top Ten Most Wanted
- FBI Most Wanted
- Hong Kong Monetary Authority List
- Interpol Most Wanted
- Ministry of Export, Trade, and Investment (METI) – Japan
- Monetary Authority of Singapore List
- OFAC Sanctions Programs
- OFAC List of Specially Designated Nationals and Blocked Persons
- Primary Money Laundering Concern List (US Department of the Treasury List of Financial Institutions Specially Designated as Being of Primary Money Laundering Concern)
- State Department Proliferation List
- Terrorist Exclusion List

- United Nations Consolidated List

1.3. Conduct a background check as follows:

1.3.1. Perform a criminal record check through an authorized background-reporting agency (including in-person searches of county courthouse records, where such records are available (e.g. United States, Mexico, etc.) covering at least the last seven (7) years, including all locations of residence and locations of employment, as stated on his or her resume, which the Supplier Personnel resided and worked during that period;

1.3.2. Verify the past seven (7) years of employment (e.g., position or job title held, dates of employment and duties); and

1.3.3. Not place any Supplier Personnel with Company if such Supplier Personnel lied or failed to disclose any relevant information, including but not limited to any prior criminal conviction on his or her pre-placement or employment application.

1.3.4. If the Supplier Personnel has been convicted of, or plead guilty to, any of the following felonies at any time, the supplier or subcontractor are required to notify Company and seek approval prior to assigning a worker to Company in a “security sensitive” position:

- Homicide
- Burglary
- Aggravated Assault
- Criminal Sexual Abuse
- Kidnapping, Abduction, Unrestraint
- Threatening or Harassing
- Altering or tampering with Motor Vehicle ID Numbers
- All offenses involving drugs
- Offenses involving Criminal enterprises and Racketeering
- Prostitution, Sexual Exploitation of minors and Obscenity
- Individual Rights (Peonage, Involuntary Servitude and Slave Trade)
- Antitrust
- Public Safety (Explosives and Arson, Firearms, Mailing Injurious Articles)

1.3.5. Other types of felonies and misdemeanors also require prior approval from Company before assignment to a “security sensitive” assignment if:

- The worker is serving probation¹ for any criminal conviction, whether or not a felony;
- The nature of the act is such that it would cause Company to doubt the trustworthiness of the worker; or
- Assigning the worker to GE could cause GE to be put in a significantly increased risk of litigation or negative publicity.

¹ Typically, background checks will not give sufficient details to permit a determination of whether an applicant remains on probation. Often, the record will show when probation began. Based on the date probation began, the applicant should be interviewed to determine current status.

1.3.6. Supplier may not exclude a candidate solely on the basis of a prior criminal conviction unless the conviction relates to **dishonesty** or **breach of trust**; or **a matter that directly relates to the Supplier Personnel's suitability for assignment to the position for which he or she is intended**. Care should be taken to ensure that decisions are in accordance with applicable state and federal regulations regarding hiring practices. Supplier should consult with its local Human Resources and/or Legal Department to ensure compliance with these guidelines and applicable law. In reaching a placement decision based on criminal background checks, consideration should be given to the following factors that may mitigate the doubts and/or risks that may be indicated by the Supplier Personnel's criminal record:

- Whether the criminal record is correct;
- The amount of time that has elapsed since the conviction(s);
- The facts and circumstances surrounding the act(s) or event(s);
- The number of and type/severity of the offenses for which the individual was convicted;
- Age at time of the conviction or release from prison;
- Evidence that the individual has successfully performed similar work post-conviction;
- Length and consistency of employment history before and after the conviction(s);
- Rehabilitation efforts, education and training.
- Employment or character references and other information regarding fitness for the particular position; and
- Whether the individual is bonded under a federal, state or local bonding program.

1.4. GEH, in its sole discretion, may determine certain Services the Supplier Personnel will be performing to be security sensitive in nature, in which case GE may mandate, to the extent permitted by applicable law, the foregoing screenings/verifications be conducted regardless of whether or not the Supplier Personnel are performing the Services on Company premises or having network access to Company's networks. Additionally, GE may require further verifications and/or searches as may be deemed necessary, to the extent permitted by applicable law, such as, for example, verifying the Supplier Personnel's highest level of education and conducting a department of motor vehicle search.

1.5. At the completion of the required background check, the Supplier shall provide an identification number, ideally not a Social Security Number, which uniquely identifies a completed background check for their employees on their access screening completion certification letter that GEH Security can use to audit when required. The GE-preferred vendors (available at www.gehsupplier.com) will provide a GE Access Number for this purpose. Other vendors can be utilized if agreed to by Company, and if a similar unique tracking number is provided. The vendor name shall be provided in addition to the tracking number.

2. Implement a **drug screening** program that meets the following standards:

- 2.1. It is the policy of Company to maintain a work place free from the use/abuse of alcohol and/or illegal drugs and the effects of such use/abuse, to identify workers who exhibit the effects of such use/abuse. Supplier Personnel are prohibited from engaging in or attempting to engage in the sale, use, possession or transfer of alcohol, illegal drugs, unauthorized controlled substances, and/or drug-related paraphernalia on Company Premises, from reporting to work in an unfit/impaired condition, and/or from performing or attempting to perform their duties in an unfit/impaired condition. The aforementioned prohibitions include impairment due to a valid prescription medication if use of that medication prevents the Supplier Personnel from performing safe and competent work. Supplier Personnel who violate this policy will be subject to immediate access revocation.
- 2.2. Urine drug testing and breath alcohol testing will follow US Department of Transportation (DOT) collection procedures. All other testing methods will follow guidelines set by a US Department of Health and Human Services (DHHS)-certified laboratory.
- 2.3. The responsible collection site shall send collected samples to a designated DHHS-certified laboratory in accordance with appropriate chain-of-custody procedures.
- 2.4. The designated laboratory shall conduct screening panels for the following drugs:
 - 2.4.1. Amphetamines
 - (a) Amphetamine
 - (b) Methamphetamine
 - (c) MDA Analogues (MDA, MDMA, MDEA)
 - (d) MDA (Methylenedioxy-Amphetamine)
 - (e) MDMA (Methylenedioxy-Methamphetamine)
 - 2.4.2. Cocaine / Metabolites
 - (a) Benzoylcegonine
 - (b) Cocaine
 - (c) Cocaethylene
 - (d) Norcocaine
 - 2.4.3. Cannabinoids (Marijuana Metabolite) (THC-COOH)³
 - 2.4.4. Opiates
 - (a) Morphine
 - (b) Codeine
 - (c) Hydromorphone
 - (d) Oxycodone
 - (e) Hydrocodone
 - (f) 6-Monoacetylmorphine
 - 2.4.5. Phencyclidine (PCP)

- 2.5. The designated laboratory shall also test each specimen for adulteration by running a selected adulteration panel of tests.
 - 2.6. The designated laboratory shall communicate the results of the tests to the responsible Medical Review Officer (MRO).
 - 2.7. The MRO shall meet or otherwise directly communicate with each Supplier's Personnel who tests positive for drugs in order to determine if an acceptable explanation can account for the positive result.
 - 2.8. If no such explanation is forthcoming, the MRO shall report the positive results to the Supplier.
 - 2.9. Supplier will not place any Supplier Personnel with Company who have received a positive test result within one year.
 - 2.10. A negative test result for the initial drug screen shall be obtained before any Supplier Personnel are placed with Company. A negative test is defined as the result of a drug test that indicates no presence of a prohibited substance or its metabolites above the established cutoff set by a DHHS-certified laboratory or that the MRO has found a supportable reason for the presence of a controlled substance.
 - 2.11. It is recognized that performance of substance abuse testing under this policy may, in certain locations, be limited by state or local regulations. Local management shall, in all instances, administer this policy in accordance with applicable local or state statutes and regulations.
3. Ensure compliance with access requirements under applicable **export control laws** by:
 - 3.1. Verifying US Person status of Supplier Personnel by reviewing one of the documents:
 - (a) US Passport,
 - (b) Original US Birth Certificate,
 - (c) Permanent Resident Card, aka "Green Card" (USCIS Form I-551),
 - (d) Original Certificate of US Citizenship (USCIS Form N-560 or N-561),
 - (e) Original Certificate of Naturalization (USCIS Form N-550 or N-570), OR
 - 3.2. Obtaining individual approval from Company Export Control Leader for access by non-US Persons.
 4. For the Purposes of this agreement, understand "Supplier Personnel" shall mean any employee, worker, leased worker, personnel, consultant, agent, Subcontractor, or any of the foregoing of such Subcontractors provided by Supplier to perform Services or Deliverables. "Subcontractor" means any individual, firm, corporation or third party engaged directly or indirectly by the Service Provider in the performance of any part of the Services and/or Deliverables, including any individual, firm or corporation furnishing materials or services necessary for the performance of the obligations under the Agreement and/or applicable statement of work.

5. Submit requests for access authorization via a designated workflow (i.e., www.gehsupplier.com).
6. Maintain, as records, all of the foregoing screenings/verifications for the duration of the Term, and for three (3) years thereafter.
7. Understand that if any screened/verified Supplier Personnel providing the Services to Company or any Business Component leaves the employ of Service Provider for a period of twelve (12) months or more, and such Supplier Personnel are then rehired by Service Provider and reassigned to servicing Company, or any Business Component, a new screening/verification must be ordered.

Agree to cooperate with Company, in good faith, to establish and implement any background verification process that Company may propose to verify that any or all of the foregoing background checks have been satisfied. Company will retain the right to audit any Supplier's compliance with this procedure.