

AHA Global Provider Code of Conduct

The American Heart Association (“AHA”) strives to comply with all applicable laws, regulations and AHA policies, and is committed to conducting all of AHA’s business operations and programmatic activities with the highest standards of ethical conduct. The AHA has created this AHA Global Provider Code of Conduct to clarify the minimum standards by which all vendors, suppliers, distributors, subcontractors, and Government grant sub-awardees (“Providers”) are required to conduct themselves when providing goods and services to the AHA. For purposes of this Global Provider Code of Conduct, “Provider” shall include any of its officers, employees, and subcontractors.

Compliance with Law

Providers shall conduct their business activities in compliance with all applicable laws and regulations.

Ethics Policy

All forms of illegal or inappropriate activity, including, but not limited to, corruption, misrepresentation, extortion, embezzlement or bribery, are strictly prohibited. Records prepared for AHA, including records of work time and expenses, must be accurate, truthful and complete, and must meet applicable standards and requirements.

Financial Integrity

Providers are required to accurately document all contract and grant transactions related to work performed for AHA. The handling and disbursement of funds related to AHA business transactions must be documented and carried out pursuant to a duly authorized written contract with clearly defined procedures. Documents must not be inappropriately altered or signed by those lacking proper authority. No undisclosed or unrecorded fund or asset related to any AHA transaction may be established or maintained for any purpose.

Conflict of Interest

Providers shall not enter into a relationship with the AHA, including its Officers, Directors or employees that would create a conflict of interest, or the appearance thereof. When an actual, potential, or perceived conflict of interest occurs, that conflict must be disclosed, in writing, by the Provider to the AHA.

Bribes, Gifts, Entertainment, Favors and Payments

Providers shall not offer, promise, or give any AHA employee, volunteer or agent (“representative”) any gifts, payments, services, or any other favors if these would, or might appear to, improperly influence the AHA representative in performing his or her duties for the AHA. AHA employees may not encourage or solicit gifts, entertainment or services from a Provider. Further, Provider shall not provide gifts or anything of value to any employee or representative of a Federal, state or municipal government, or an employee or representative of a foreign government or public international organization.

Nondiscrimination

Providers shall not subject any person to unlawful discrimination in employment, including hiring, salary, benefits, advancement, discipline, termination, or retirement, on the basis of race, gender, color, religion, nationality, ethnic, or social origin, age disability, marital status, military status, height, weight, sexual orientation, or political opinion.

Fair Competition

Providers shall comply with all applicable antitrust and fair competition laws. Accordingly, among other things, a Provider shall not: (i) enter into any agreement, plan or understanding (written or oral), with regard to AHA business, with any of the Provider’s competitors relating to price, terms or conditions of sale,

production, distribution, territories, or customers; or (ii) exchange or discuss with any of its competitors pricing, marketing plans, manufacturing costs or other competitive information.

Responsible Sourcing of Materials

Provider shall exercise due diligence on relevant materials in its supply chains. Provider shall develop particular due diligence policies and management systems in order to identify applicable risks and take appropriate steps to mitigate them. Due diligence shall be conducted to the material processing level in order to determine whether relevant materials originate from regions with high risks, which include areas associated with conflict, child labor, forced labor and human trafficking, gross human rights violations such as widespread sexual violence, or other reasonably objective high-risk activities, including severe health and safety risks, as well as negative environmental impacts.

Acceptable Use

Providers, who have access to AHA's Systems, shall comply with AHA's Acceptable Use Policy.

Privacy & Security

"Personal Information" is defined in AHA's Privacy Policy. Providers that gather or maintain Personal Information for AHA shall gather and store such information in a manner that complies with AHA's Privacy Policy, as may be amended, and obtain all relevant and necessary consents for use and disclosure of Personal Information in conformity with applicable law and AHA policies.

Procurement Standards

Providers shall comply with AHA's Procurement Standards, as amended. In particular:

- Requests for Proposal are required for expenditures made under a federal government grant award per 2 CFR 200, Subpart D, and are generally conducted for expenditures of \$50,000 or more for non-government expenditures.
- Selection of providers is based on multiple components including but not limited to: quality, ability to provide material or services, service levels, and price.
- Providers must develop their proposals independently without consulting with other firms unless Provider submits a joint proposal with another firm.

Environmental Impact

Providers must be in compliance with all applicable environmental laws and regulations. Providers shall minimize the negative impacts their business operations have on the community, environment, and natural resources throughout their supply chain.

Providers shall obtain, keep current, and comply with all required environmental permits. Providers shall comply with the reporting requirements of applicable permits and regulations.

Hazardous Waste Management

Freedom of Association

Providers shall recognize and respect the rights of employees to freedom of association and collective bargaining, as permitted by and in accordance with applicable laws and regulations.

Safe & Healthy Working Conditions

Providers shall proactively manage health and safety risks to provide an incident-free environment where occupational injuries and illnesses are prevented. Providers must implement management systems and controls that identify hazards and control risks related to their specific industry.

Labor and Human Rights

AHA believes all workers in our supply chain deserve a fair and ethical workplace. Workers must be treated with the utmost dignity and respect, and AHA providers shall uphold the highest standards of human rights.

Anti-Discrimination

Provider shall not discriminate against any worker based on age, disability, ethnicity, gender, marital status, national origin, political affiliation, race, religion, sexual orientation, gender identity, union membership, or any other status protected by applicable national or local law, in hiring and other employment practices. Provider shall not require pregnancy or medical tests, except where required by applicable laws or regulations or prudent for workplace safety and shall not improperly discriminate based on test results.

Anti-Harassment and Abuse

Provider shall commit to a workplace free of harassment and abuse. Provider shall not threaten workers with, or subject them to, harsh or inhumane treatment, including but not limited to verbal abuse and harassment, psychological harassment, mental and physical coercion, and sexual harassment.

Prevention of Involuntary Labor and Human Trafficking

Provider shall ensure that all work is voluntary. Provider shall not traffic persons or use any form of slave, forced, bonded, indentured, or prison labor. Involuntary labor includes the transportation, harboring, recruitment, transfer, receipt, or employment of persons by means of threat, force, coercion, abduction, fraud, or payments to any person having control over another person for the purpose of their exploitation.

Provider shall not withhold workers' original government-issued identification and travel documents. Provider shall ensure that workers' contracts clearly convey the conditions of employment in a language understood by the workers. Provider shall not impose unreasonable restrictions on movement within the workplace or upon entering or exiting company-provided facilities.

Workers shall not be required to pay employers' or their agents' recruitment fees or other similar fees to obtain their employment. If such fees are found to have been paid by workers, such fees shall be repaid to the worker.

Working Hours

A work week shall be restricted to 60 hours, including overtime, and workers shall have at least one day off every seven days except in emergencies or unusual situations. Regular work weeks shall not exceed 48 hours. Provider shall follow all applicable laws and regulations with respect to working hours and days of rest, and all overtime must be voluntary.

Harassment and Abuse

Providers must respect the rights and dignity of their employees. Human rights abuses, including physical, sexual, psychological or verbal harassment or abuse of workers, will not be tolerated.

Child and Involuntary Labor

Providers shall not use child, forced, bonded, prison or indentured labor. Providers shall not employ any children. The AHA defines "child labor" as being below the local minimum working age or age 15, whichever is higher.

Ineligible Providers

The AHA will not enter into transactions or dealings with any Provider if it or any of its officers, directors or employees is, or becomes 1) debarred from receiving contracts or grants from any government or quasi-governmental or international organization, or 2) is subject to sanctions from the US government, foreign government, or international organization. Provider shall promptly notify the AHA in writing if either of these

conditions is met.

Government Contracts & Grants (as applicable)

In addition to the other requirements set forth in the Global Provider Code of Conduct, Providers performing services for the AHA under a contract or grant from the Federal, state, or municipal governments may be subject to additional requirements, including the Federal Acquisition Regulation (“FAR”) and/or Federal grant regulations. In general, the terms and conditions of the relevant contract or grant will set forth or incorporate by reference the requirements applicable to a Provider performing services under a government contract or grant. Providers should therefore carefully review their contract or grant to identify all applicable requirements. While the list below is not exhaustive, Providers performing services under a government contract or grant may be required to comply with the following requirements:

Socioeconomic Policies

Providers performing services for government customers are generally subject to additional socioeconomic requirements, including, but not limited to policies regarding equal opportunity, affirmative action, civil rights and drug-free workplaces. The requirement to adhere to these socioeconomic policies when performing work for the AHA will generally be established by the terms and conditions of the relevant contract or grant agreement.

Government Audit and Reporting Requirements

Providers are required to cooperate with all government audits in connection with any services performed for the AHA under a contract or grant from the U.S. Government, even if a Provider is performing work as a subcontractor or subawardee. Providers shall also comply with applicable record retention and financial reporting requirements, as prescribed in the Provider’s contract or grant.

Registration Requirements

Providers performing work under Federal contracts and grants are required to be registered in the System for Award Management (“SAM”) database, the central repository for information regarding entities receiving Federal awards. Registration in the SAM database requires an entity to obtain a DUNS number and complete certain representations and certifications. Registration in the SAM database is required prior to award.

Code of Ethics and Business Conduct

Certain Providers may be required to implement a Code of Business Ethics and Conduct if performing a significant amount of work for the Federal government. If subject to this requirement, Providers shall implement a compliance program and internal control system to monitor and report improper conduct in connection with the performance of a government contract.

Procurement Integrity Act (“PIA”)

U.S. federal law generally prohibits the disclosure or receipt of contractor proposal and source selection information relating to federal procurements. Providers performing government contract and grant work are required to adhere to the PIA and thus are generally prohibited from soliciting or receiving any source selection information or competitor proposal information. Providers are further required to immediately notify AHA if they receive unauthorized source selection information or competitor proposal information that relates to the services Provider performs for AHA.

Anti-Kickback Act

The Anti-Kickback Act prohibits contractors from offering or providing anything of value for the purpose of obtaining favorable treatment in connection with the award of a U.S. government contract or subcontract. AHA policy therefore prohibits Providers from offering, providing, soliciting, or accepting anything of value for the purpose of rewarding favorable treatment in connection with a government contract, subcontract or grant.

Intellectual Property and Obligations of Confidentiality

AHA respects the intellectual property rights of others and expects Providers to respect AHA's intellectual property rights. Providers must appropriately safeguard AHA confidential information, and may not use AHA proprietary information without written permission. Similarly, in the course of working with or for AHA, Providers must not use proprietary information of third parties without appropriate authorization.

International Transactions (as applicable)

Providers conducting business on behalf of the AHA outside of the U.S. and its territories shall also comply with the following standards:

Anti-corruption Laws

Providers must be in compliance with, and shall not violate, the U.S. Foreign Corrupt Practices Act, and the rules and regulations thereunder ("FCPA"), any international anti-corruption conventions, or any applicable anti-corruption laws and regulations of the countries in which they operate (collectively, the "Anti-Corruption Laws"). Providers also shall not promise, offer to give, or give any bribes, directly or indirectly, to any party to facilitate a business relationship or to obtain an undue or improper advantage, and also shall not receive any bribes, whether directly or indirectly, from any person. Provider is familiar with, and will train its personnel with regard to, the provisions of the Anti-Corruption Laws. The books and records of Providers accurately and fairly reflect in reasonable detail Provider's transactions in all material respects. Providers have instituted and maintain policies and procedures designed to ensure compliance with the Anti-Corruption Laws.

U.S. Embargos

Providers shall comply with all US embargos and sanctions in force during the performance of any Agreement with the AHA.

Export Controls

Providers shall comply with all applicable export control laws. In particular, Providers shall not export, re-export, or transfer any goods, services or technology to any countries, persons or entities without the required licenses or approvals from any applicable governmental authority, including any licenses or approvals required pursuant to any applicable U.S. export control regulations.

Anti-boycott Compliance

Providers shall not cooperate with or participate in any boycotts prohibited by U.S. laws or regulations during the performance of any Agreement with the AHA.

Publicity

Providers shall not distribute advertising, press releases, or any other general public announcement regarding its products or services to the AHA without the prior written authorization from the AHA.

Business Record Retention

Providers shall retain and make available records related to business with AHA in accordance with applicable law, regulation, and contract requirements.

Reporting Violations or Questions

Providers shall report any practices or actions believed to be in violation of this Global Provider Code of Conduct via the AHA ethics hotline at **866-293-2427**. Provider may also report by logging on to: www.ethicspoint.com. Calls to the toll-free hotline or contact through the Internet site are facilitated by a third party, Ethics Point, Inc. Reporting of ethics violations will be treated as confidential information and can be communicated anonymously upon request.

Provider Diversity Program

The AHA is committed to provide a business environment that values diversity among its vendor base with Providers who consistently provide quality and timely services and products at competitive prices. The AHA is committed to involve minority and women-owned businesses in purchasing opportunities.

The Procurement Services Department at the AHA's National Center maintains a database of current and potential Providers. The Department assists in providing sourcing information to AHA departments and facilitates the purchasing and sourcing process. The Procurement Services Department assists in the identification of qualified diverse Providers for opportunities and solicitations. Providers are encouraged to call their diversity facts to the Procurement Services Department's attention.