



Code for Exporters

Purpose

CCC supports the growth of international trade by helping Canadian exporters gain access to foreign government procurement markets. CCC is committed to upholding Canadian values by doing business in a responsible way to ensure economic, social and environmental sustainability is at the core of our operations. This Code is based on CCC's commitment to ESG principles, support for the *UN Sustainable Development Goals (SDGs)* and the *Ten Principles of the UN Global Compact*.

CCC seeks to work with Exporters that adopt, respect and adhere these values to further our shared contribution to the accomplishment of the SDGs and in building a better future for all. Exporters must also ensure they respect all applicable laws, rules and regulations relating to integrity, human rights, the environment and any other laws in the jurisdiction in which they may operate. CCC encourages Exporters to go beyond legal compliance, drawing upon internationally recognized standards, in order to promote sustainable and responsible business at home and abroad. CCC's supports the [Government of Canada's Responsible Business Conduct Abroad Strategy](#), acknowledging the unique role CCC can play in championing RBC best practices with Canadian companies.

When businesses operate responsibly, this builds and sustains confidence in the marketplace, the values of democracy and economic and social development. Therefore, ensuring that ESG is at the centre of every transaction allows, both CCC and its Exporters, to maintain long-term competitive success, brand reputation and reflects the values that contribute to the strong global brand for Canada.

Application

This Code applies to all Exporters working with CCC and their employees, suppliers and subcontractors. CCC expects Exporters to conduct business in a manner that is consistent with this Code by integrating responsible business practices throughout their operations and supply chains. CCC commits to working collaboratively with Exporters to address aspects of this Code, recognizing that these values deliver confidence and high standards to Exporters, the Government of Canada and foreign government buyers all while allowing Exporters to mitigate risks, build resilience against disruptions and stay competitive and consistent with the Government of Canada's approach to inclusive trade.

Business Ethics

Trust, fairness and honesty are intrinsic to CCC's interactions, and we expect the same from Exporters and their subcontractors and agents. CCC expects Exporters to always act in good faith with honesty, integrity and fairness.

- Bribery and corruption: compliance

Bribery is the payment or giving, directly or indirectly, of a benefit of any kind or anything of value to a public official in order to obtain an advantage in the course of business. Exporters should not engage in activities that could constitute corruption or bribery and must attest that they have not been convicted or sanctioned for such activities, as part of CCC's due diligence process. CCC expects Canadian Exporters to have an anti-bribery and corruption policy in place, with zero tolerance for behaviour that could constitute corruption, bribery or fraud. Proper financial controls based on a risk assessment of the business vulnerabilities for bribery and corruption is recommended. Canadian Exporters are further encouraged to provide annual anti-bribery and corruption training to its directors, officers, employees and agents, which can help protect organizations from legal risk, protect their corporate reputation and create a culture of responsible business conduct. Taking a risk-based approach in order to determine the scope and frequency of compliance training can ensure it is effective. For example, employees, agents and subcontractors who have contact with foreign public officials and those that have client facing roles (such as Business Development) should be encouraged to undergo training on an annual basis.

- Engaging with foreign public officials

When interacting with foreign public officials, Exporters must ensure that all activities comply with the [Corruption of Foreign Public Officials Act](#) and with any anti-corruption laws, regulations or guidelines that may be applicable. Exporters are expected to implement controls and procedures with respect to foreign public officials being offered gifts, hospitality, entertainment, travel and other benefits, including facilitation payments.

- Due diligence and use of agents

CCC understands that agents can be a useful tool in international business while recognizing that the use of agents in foreign markets may pose one of the highest risks to Exporters for bribery. Exporters that hire agents, representatives or third-party intermediaries should implement a policy that establishes the requirements and processes for reviewing and approving those agents before entering into any agreement. When conducting such due diligence, Exporters should consider all the risks posed by the use of agents and implement mitigation measures in order to prevent bribery and corruption. CCC will conduct its own due diligence on any agent prior to approving or moving forward with any project.

It is advisable that any agreement entered into with an agent clearly outlines their roles and responsibilities, their compensation arrangement and adherence to anti-bribery and corruption laws and Exporter policies in this area. Compensation to

agents should be fair and reasonable with extra caution being taken to avoid potential illegal payments.

- Conflict of interest

CCC expects Canadian Exporters to avoid any behaviour or situations that could be perceived as a conflict of interest when dealing with CCC and buyers and foreign government officials. Exporters should ensure that all their decisions are made free of any actual or perceived conflict of interest. Any actual or perceived conflict of interest should be disclosed to CCC.

Human Rights

CCC has a [Human Rights Policy](#) that enunciates our commitment to respecting all internationally recognized human rights in line with the *UN Guiding Principles* and *OECD Guidelines for Multinational Enterprises*. CCC expects Exporters to ensure the following:

- Due diligence is carried out on all projects with CCC to identify actual or potential human rights risks and work with CCC to devise strategies to mitigate any risks.
- The use of forced or child labour is strictly prohibited in the performance of work and Exporters should implement all reasonable measures possible to ensure that their supply chains conform to Canadian laws and restrictions with respect to the prohibition on the import of goods produced by forced labour.
- Adherence to proper labour standards, occupational health and safety and compliance with all applicable labour and employment laws and regulations in the countries where they operate including freedom of association, equal opportunities and fair compensation.
- A diverse, inclusive and respectful workplace and supply chain. CCC embraces the principles of diversity and inclusion and seeks to afford equal opportunities to all Exporters, representing the communities in which we live and work and the economies in which we trade, recognizing that a diverse Exporter base builds stronger communities and local economies. To further foster inclusion and sustainability, CCC expects Exporters to integrate Canadian values into their activities to effectively combat discrimination and to promote human rights, gender equality and Indigenous peoples' rights. Exporters are encouraged to do so by establishing internal policies, commitments, due diligence processes or appropriate grievance mechanisms.

The Environment

CCC is committed to environmentally sustainable operations and reducing our impact on the environment. In particular, CCC supports the [Greening Government Strategy](#) and the commitments that the government has made to transition to net-zero carbon and climate-resilient operations.

CCC expects Exporters to consider their environmental impact, strive to reduce any adverse impact of their operations, products or services on the environment and promote sustainable practices.

In capital and infrastructure projects, Exporters should take all necessary measures to ensure they comply with international standards in CCC transactions ensuring that the appropriate environmental and social impact assessments have been conducted and monitoring plans be implemented to continually assess and mitigate any risks.

Export Controls

Exporters are expected to ensure that they conduct business in accordance with all applicable laws and regulations including the laws governing export and import of goods, materials, and components. This includes the *Export and Import Permits Act (EIPA)* and the *International Traffic in Arms Regulation*, where appropriate. Exporters are responsible for applying for necessary permits as part of export transactions and ensuring clear and comprehensive documentation is provided to facilitate the granting of permits.

In 2019, the EIPA was amended to reflect Canada's accession to the Arms Trade Treaty (ATT). The ATT establishes common standards for trade in conventional weapons. It seeks to ensure human rights, international humanitarian law and other considerations are weighed in decisions on the exports of controlled goods and technology. CCC examines all export transactions in light of these considerations as part of CCC's human rights due diligence process. This includes working with Exporters to address actual and potential human rights impacts. CCC expects Exporters to collaborate with CCC during this process and make similar commitments to conduct due diligence for human rights impacts in defence and security transactions.

Responsible Supply chains

CCC supports responsible sourcing of materials and transparent supply chains, with the goal of ensuring that business is conducted sustainably and ethically.

CCC also recognizes that effective due diligence is critical for improving sustainable development and de-risking international business transactions. To ensure Exporters embed responsible business practices into their policies and management systems, CCC expects Exporters to have a robust risk assessment system in place and to take appropriate steps in fulfilling due diligence responsibilities.

Exporters should take steps to ensure they conduct appropriate due diligence in their supply chains and flow down the principles contained within this Code to the entities they transact with and source from.

Transparency and accountability

As a Crown corporation, and in support of sound corporate governance, CCC is committed to transparency and accountability as laid out in our [Transparency and Accountability Policy](#). We strive to adhere to these principles in working with Exporters through the following:

Record keeping: Exporters that work with CCC are expected to demonstrate compliance to the standards in this Code through their policies, processes and transparent books and records. In particular, Exporters should keep proper and detailed accounts and records with respect to their business.

Transactional disclosure: CCC recognizes the unique interests of its Exporters and foreign government buyers who entrust us with confidential information for the purpose of facilitating commercial transactions. CCC seeks any necessary consents to disclose transactional information where the information is confidential or proprietary.

Information management and privacy: the collection and use of customer and personal information should be protected at all times in accordance with applicable law.

Monitoring and reporting

CCC's monitoring and reporting requirements are based on mutual trust and collaboration with Exporters with a commitment to ensuring that transactions are executed responsibly throughout the project life cycle. Exporters are expected to comply with this Code and take steps to ensure compliance by their employees, agents and subcontractors. CCC may periodically request to review exporters' policies and internal controls to monitor

compliance. Exporters are expected to cooperate and provide the necessary documentation and responses to facilitate the monitoring and reviews conducted by CCC.

In some instances, CCC may, directly or through a third party, conduct a compliance audit on Exporters' information, accounts and business records.

In an effort to reduce and mitigate risk, CCC may require Exporters to implement or improve their internal programs and processes to prevent conduct contrary to the provisions of this Code.

When CCC discovers that an Exporter has acted or carried out activities that violate the principles of this Code, CCC will conduct an in-depth review of the Exporter's compliance policies and programs, considering any corrective actions and mitigation measures taken by the Exporter to discourage and prevent further contraventions. This in-depth review will be completed before determining whether CCC should continue to support the exporter on ongoing or potential projects.

Contact

Exporters should communicate any questions or concerns regarding this Code to CCC, including disclosure of any breaches, irregularities, suspicious activity involving any of their employees, agents, contractors and foreign government officials in connection with pursuits or projects in which CCC participates.

Learn more or submit a disclosure on our [website](#).

References – Resources for Exporters

Canada's International Commitments

[UN Guiding Principles on Business and Human Rights](#)

[OECD Guidelines for Multinational Enterprises](#)

[Tripartite Declaration of Principles concerning Multinational Enterprises and Social Policy \(MNE Declaration\)](#) - The International Labour Organization

[UN Arms Trade Treaty \(ATT\)](#)

[UN Global Compact](#)

Canadian Legislation

[Customs Tariff](#) and the [Labour Exploitation in Supply Chains](#) Report-
Employment and Social Development Canada

[Corruption of Foreign Public Officials Act \(CFPOA\)](#)

[The Export and Import Permits Act \(EIPA\)](#)

[Canada Business Corporations Act \(CBCA\)](#)

Government of Canada initiatives

[RBC Abroad](#) – Global Affairs Canada

[Canada's National Contact Point \(NCP\) for the Organisation for Economic Co-operation and Development Guidelines for Multinational Enterprises](#)

[Canadian Ombudsperson for Responsible Enterprise \(CORE\)](#)

Other Resources

[Business Risk and Corporate Responsibility](#) – The Canadian Bar Association

[TRACE](#)

[Transparency International](#)

[Anti-corruption Third Party Due Diligence: A Guide for Small- and Medium-sized Enterprises](#) – International Chamber of Commerce

[IFC Performance Standards](#)