



Corporate Headquarters
Cross Function Procedure CRX-021
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Internal Investigations

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1.0 Purpose

To establish standards for investigating alleged violations of laws, regulations, policies, procedures, or the Code of Ethics & Business Conduct, "[Setting the Standard](#)," occurring in the workplace or in off-premises situations with a relationship to the workplace or that affect the workplace.

2.0 Exclusion

This procedure does not apply to investigations conducted by federal, state, or local law enforcement, including government and customer agencies, which are bound by the laws and regulations that apply to those agencies. Lockheed Martin will support and cooperate in these investigations as required.

3.0 Definitions

Internal Investigation - Actions performed by a Lockheed Martin authorized investigator to gather the facts of a complaint, allegation, issue, incident, or event, resulting in a report of investigation. An investigation is generally the systematic collection and objective assessment of facts and evidence (including interviews), resulting in an investigatory conclusion or finding.

Investigator - A Lockheed Martin employee or contracted vendor (an outside investigator or outside counsel) who has been authorized to conduct an internal investigation on behalf of Lockheed Martin. See paragraph [5.1](#).

Workplace - Any place where Lockheed Martin employees perform work for or represent Lockheed Martin, including off-premises company-sponsored events and business travel.

4.0 Investigation Integrity

4.1 Lockheed Martin will ensure that its internal investigations are conducted in a manner that complies with all applicable federal, state, and local laws, orders, rules, regulations, and ordinances; Lockheed Martin policies and procedures; and the Code of Ethics & Business Conduct.

4.2 Investigators must execute their responsibilities with integrity, fairness, and timeliness in engagement and completion, and consult with their management, Ethics organization, and/or the Legal department as necessary. The primary responsibility of an investigator is to uncover facts and evidence to substantiate or refute allegations and/or to fully comprehend an incident. Investigators must act with integrity in the methods used in obtaining information, documentation, and evidence. Investigators will not misrepresent themselves or pretext their identities to obtain employee private or confidential information.

4.3 Investigators must act with fairness and objectivity in gathering and assessing information, and will provide all relevant information to the element's administrative review committee or similarly established discipline process. Investigators must respect the confidentiality of the investigation and reveal investigation information only to authorized persons with a need to know.

5.0 Investigators

5.1 Investigations may be authorized and initiated only by Legal, Ethics, Human Resources, or Industrial Security. Internal investigations generally will be performed by members of Lockheed Martin's Legal, Ethics, Human Resources, Industrial Security, Internal Audit, or Information Security department, as applicable. The relevant lead of these functional areas may delegate performance of an internal investigation to a Lockheed Martin employee outside of these functions provided the lead controls and monitors the investigation. Responsibility for performing the internal investigation should be delegated when an internal conflict of interest exists.

Note: According to Corporate Information Protection Manual [IPM-109](#), Information Security Incident Management, ongoing information systems investigations are conducted by Information Security to protect against the threat of networked computing and information resource misuse, violation, penetration, or intrusion activity. If employee or contracted vendor misconduct is suspected (to include computing systems abuse, information protection violations, misuse of the Lockheed Martin Intranet, unauthorized use of the Internet, or inappropriate use of e-mail), Information Security will promptly notify the Legal, Ethics, Human Resources, or Industrial Security department, who will take the lead to authorize and initiate an internal investigation. Information Security will support this authorized investigation.

5.2 Non-Lockheed Martin employees may be engaged to perform internal investigations in special circumstances where, for example, the necessary expertise does not exist in-house, outside legal counsel is needed or deemed prudent, or a matter is considered non-routine or involves a volume of work beyond that which these departments are staffed to handle. Outside counsel must be retained in accordance with [CRX-001](#), Performance of Legal Activities. The corporate Senior Vice President Enterprise Business Services & Chief Information Officer must be consulted with in determining whether the necessary information technology forensics expertise does not exist in-house. Outside counsel and

contracted investigators must comply with this procedure and should be made aware of their responsibilities by means of appropriate language in their agreements.

5.3 Investigators will be properly trained to conduct internal investigations, which includes familiarity with the Lockheed Martin Corporate Investigations Guide (the "LMC Investigations Guide") and other training required to stay current with investigative practices, laws, and regulations. Investigators should use the LMC Investigations Guide as the reference for conducting internal investigations. The LMC Investigations Guide and other similar documentation addressing the conduct of investigations are not available except to authorized employees.

5.4 The [Legal department](#) is available to support and counsel investigators in the conduct of their internal investigations. Investigators should contact the Legal department with any questions on investigation techniques, the LMC Investigations Guide, procedures, or any unusual preliminary findings. Investigators should immediately notify the Legal department if there is any suspicion of criminal activity by anyone, or any issue that requires disclosure under Corporate Policy Statements or other policies and procedures.

6.0 Internal Investigations

6.1 Internal investigations must be performed in a professional, non-threatening manner with the sole purpose of objectively ascertaining with reasonable certainty what occurred, who was responsible, how it occurred, and what corrective action may be warranted. The scope and intensity of the internal investigation will be flexible depending on the nature of the allegation(s) and the substance and quality of the evidence developed during the investigation. Internal investigations must be as accurate and complete as possible.

6.2 Generally, employees and visitors to Lockheed Martin facilities do not have a reasonable expectation of privacy while on company premises. Subject to any applicable law to the contrary, Lockheed Martin reserves the right to conduct searches (including random searches) of persons, vehicles, desks, and other work spaces including computers, briefcases, purses, and other belongings and containers on its premises, including parking lots. This right to search also applies to off-premises work-related activities.

6.3 Internal investigators must conduct a good faith investigation, consider the evidence thoroughly and impartially, and then reach supportable, reasonable conclusions. Findings should be based on information, which, after considering all the information obtained or presented, points to a particular conclusion as being more credible and probable than any other conclusion. Investigators must be careful not to reach any legal conclusions with respect to the matters being investigated, unless the investigator also is representing Lockheed Martin as legal counsel.

6.4 Investigative interviews may not be electronically recorded (audio or video) by the employee being interviewed; however, the employee being interviewed should be given the opportunity to take notes, unless prohibited on classified programs. Lockheed Martin investigators will not electronically record interviews, except that Lockheed Martin reserves the right to electronically record interviews in the event of potential workplace violence or criminal activity, when required by government customers, or in other circumstances with the express advance permission of the Legal department and in conformance with federal and state laws.

6.5 Reports of investigation and related documentation must be protected in accordance with [CRX-015](#), Protection of Sensitive Information, and when applicable, direction provided by relevant legal counsel. Reports normally will be marked LOCKHEED MARTIN PROPRIETARY INFORMATION or, when directed by relevant legal counsel, CONFIDENTIAL AND PRIVILEGED ATTORNEY-CLIENT COMMUNICATION—ATTORNEY WORK PRODUCT. Unless otherwise prohibited by law, employees are not entitled to review or obtain a copy of reports of investigation or related documentation; however, subject to the employee's continued compliance with CRX-015, he or she may have a copy of any document that he or she signed in the course of fulfilling the responsibilities of his or her position, unless that document contains classified information. Any classified information must be protected in accordance with the applicable rules, regulations, and security classification guidance promulgated by the U.S. government or, when applicable, by a foreign government.

6.6 Reports of investigation and related documentation must be retained in accordance with [CRX-008A](#), Corporate Records Retention Schedule, or the element's Records Retention Schedule, unless otherwise directed by relevant legal counsel.

6.7 It is Lockheed Martin's responsibility to properly safeguard all classified material, and other materials entrusted to it by customers, suppliers, or U.S. government agencies, and to cooperate with U.S. government agencies as necessary to ensure the national security of the United States and its interests. Investigators must immediately notify relevant program Security if there is any indication that a breach of classified information may have occurred.

7.0 Responsibilities

7.1 Employees are required to cooperate in internal investigations. Failure to cooperate or providing false, deliberately deceptive, intentionally misleading, or intentionally incomplete information may result in disciplinary action, up to and including termination from employment. Unless required by a collective bargaining agreement or otherwise required by law, employees are not entitled to representation in connection with internal investigations.

7.2 Management will assist investigators and provide access to computer systems, data, documentation, and other company records, as requested.

7.3 Management and employees must refrain from unauthorized disclosure and discussion of the internal investigation with non-employees and other third parties.

7.4 The Senior Vice President, General Counsel & Corporate Secretary, corporate Vice President Ethics & Sustainability, corporate Senior Vice President Human Resources, corporate Vice President Internal Audit, and corporate Senior Vice President Enterprise Business Services & Chief Information Officer, directly or through corporate and business area Legal, Ethics, Human Resources, Industrial Security, Internal Audit, or Information Security, will provide timely and professional investigative services as appropriate, and provide service, support, and guidance as required.

7.5 Employees must immediately report information relating to potential violations of law or instances of significant employee misconduct in accordance with [CPS-718](#), Disclosures to the United States Government.

8.0 Deviations

Any deviation from this procedure requires the prior approval of the Owner listed in Lockheed Martin Command Media Central ([U.S.](#)) ([Outside U.S.](#)) or designee.

//s// Maryanne R. Lavan
Senior Vice President, General Counsel & Corporate Secretary