



September 1, 2017

To: Northrop Grumman Suppliers

Subject: Defense Industry Initiative Small Business Toolkit for Building
An Ethics and Compliance Program

References: (1): Building and Maintaining an Ethics and Compliance Program –
The Small Business Toolkit, Defense Industry Initiative on
Business Ethics and Conduct

(2): Defense Industry Initiative Best Practices Webinars Flyer

The Defense Industry Initiative has developed a toolkit for putting together an ethics and compliance program to facilitate compliance with complex federal contractor regulations. The toolkit includes:

- Governance and Organization – How to organize an ethics and compliance program;
- Training and engagement – PowerPoint presentations that can be customized to train individuals on many compliance topics plus case studies, video links and communication documents;
- Policies and procedures – Model code of conduct and over 25 sample policies and procedures a contractor could be required to implement depending on the scope of work; and
- Auditing, monitoring and mentoring – Tools to self-audit your ethics and compliance program to determine effectiveness.

In addition, the Defense Industry Initiative will host a series of webinars to discuss implementing Ethics and Compliance programs. The free webinars will help companies of all sizes implement core elements of an Ethics and Compliance program, using the Small Business Toolkit as a foundation. Upcoming webinars are:

- September 13th – Developing Effective and Engaging Ethics and Compliance Training
- December 13th – Auditing and Monitoring your Program to Ensure Effectiveness

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The Small Business Toolkit may be accessed on the Northrop Grumman Global Supplier Diversity Programs' Small Business Program Information, Resources & Tools site at the following link:

<http://www.northropgrumman.com/suppliers/Pages/sbpr.aspx> .

To register for the free webinars and gain access to over 250 pages of free content, go to www.dii.org .