



Ethics and Compliance Program Assessment Questionnaire

Vendor Information

Contact Name: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Phone: \_\_\_\_\_ Email: \_\_\_\_\_

Program Information

- 1. Do you have an ethics and compliance program?  Yes |  No
  - a. If you answered "Yes," proceed to question 2.
  - b. If you answered "No," are you interested in partnering with Con Edison to implement an ethics and compliance program?  Yes |  No

Send the completed Ethics and Compliance Assessment Questionnaire to [FORETHX@conEd.com](mailto:FORETHX@conEd.com). A member of our team will contact you with next steps. Or, call 1-855-FOR-ETHX (1-855-367-3849) to speak with a member of our team.

- 2. Do you have a process for assessing risk?  Yes |  No
- 3. Do you have a formal ethics and compliance policy or a Code of Conduct?  Yes |  No
- 4. Do you have established roles for ethics and compliance (e.g., VP of Ethics and Compliance, Training Manager, Communication Manager)?  Yes |  No
- 5. Do you perform due diligence on employees?  Yes |  No
- 6. Do you train and communicate with employees on ethics and compliance policies?  Yes |  No
- 7. Do you have a channel for employees to ask questions or raise concerns about ethics-related issues?  Yes |  No
- 8. Do you have resources/personnel to investigate ethics and compliance issues?  Yes |  No
- 9. Do you have a process for measuring the effectiveness of your ethics and compliance program?  Yes |  No

If yes, please briefly describe how you measure program effectiveness.



## Ethics and Compliance Program Assessment Questionnaire

10. Have you been challenged by any ethical issues at your company?  Yes |  No

If yes, please briefly describe how you addressed the issue.

11. Are you interested in partnering with Con Edison to enhance your ethics and compliance program?  
 Yes |  No

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