



EthicsAssurance is a web-based, self-administered education and audit tool that allows organizations to assess their policies and practices and supports the development and monitoring of action plans in the fields of:

- Governance,
- Fiscal integrity,
- Ethical risk management,
- Sustainability,
- Social and Community responsibility; and
- Human resources.

Developed by EthicScan Canada, a world leader in ethical and organizational assessment and education tools, **EthicsAssurance** applies the science of social and ethics audits and the experience of companies in Canada, the US, and the UK. It is a real-time, online tool that can give Boards, CEOs and CFOs confidence in their ability to understand, improve, and certify their organization's performance in these areas.



- Allows real time pulse-taking inside and outside the organization. Expands scope and saves money and time on employee satisfaction or engagement surveys.
- Incorporates a whistle blower mechanism.
- Provides a continuously updated educational and monitoring tool on best practices.
- Provides information to executives and boards, enabling organizations to first benchmark themselves and then monitor their progress against best practices and other organizations.
- Diagnoses vulnerable areas and issues, provides advance warning of malfeasance or vulnerabilities.
- Drives remedial action and monitors progress.
- Increases corporate transparency and accountability.
- Links CSR, governance, and risk management challenges.
- Enhances public reputation and corporate image.

Benefits of EthicsAssurance

For the Board: Identifies vulnerabilities and solutions in the form of compliance and/or principles-based best practices.

For the Audit Committee: Identifies and benchmarks risk and reputation challenges with proposed solutions, in real time and on demand.

For the CEO: Can provide benchmarks and progress reports on demand concerning the organization's ethical and reputational strengths and weaknesses.

For the Compliance Officer: Continually monitors concerns from staff about suspicions, concerns or dilemmas—even if no whistle-blowing takes place.

For Human Resources: Expands an organization's capacity for low cost, real time continuous surveying and education of staff.

For Mission-Based Investors: Defines and identifies practices at companies and organizations that provide leadership in terms of integrating good governance standards and management practices with corporate performance.

For the Internal Audit Team: Pinpoints problem behaviours even if they are not necessarily identified as concerns by employees.

For Employees: Enhances their confidence in the employer, as a leader and an organization that is identifying and supporting best practices, while also maintaining whistle-blower protection.

Supportive Resources at EthicsAssurance Website

Learning Circles: Discussion groups by practitioners on problems and solutions about organizational pulse taking and reporting—invitations for Toronto, Calgary, New York and London on www.ethicsassurance.org

Metric Circles: Industry sector led sessions focusing on best practice surveying, standards setting, and comparative reporting—invitations online

On-line Issues Cross Talk: open access, public discussions, forums and blogs



How effective is your organization in identifying and dealing with integrity risk and reputation issues?

www.ethicsassurance.org

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Function or Need

Problem

EthicsAssurance as Solution

Pulse-taking by senior management

Progressive managers need to know what's going on inside their organizations on multiple fronts.

- Monitoring, surveying and probing can be done 7/24, on an unlimited basis
- EA Library includes 64 "template" surveys and 1,600 sample questions, which can be customized
- Web-based probes and surveys can be built and offered the same day

Surveying of stakeholders and communities

Organizations need to understand and their decisions to reflect various stakeholder and community opinions

- Employees, constituents, and other stake holders can be surveyed at any time, on a real time basis, enabling organizations to react intelligently and sensitively, and quickly

Employee education

Employees are not always up to date or don't know the latest national, international or even their own company's standards and values

- Questions incorporate an educational element regarding standards and policies
- Incorporates global reporting and disclosure standards
- Learn as you go with 500 definitions, 300 web-links and 1,200 best practice education updates

Good governance

Overly simple focus on just one element of problem (i.e. SOX, Independent directors)

- For boards, EA covers six modules: Ethics, Fiscal Probity, EHS, Governance, Human Resources, and Social & Community Responsibilities

Employee empowerment

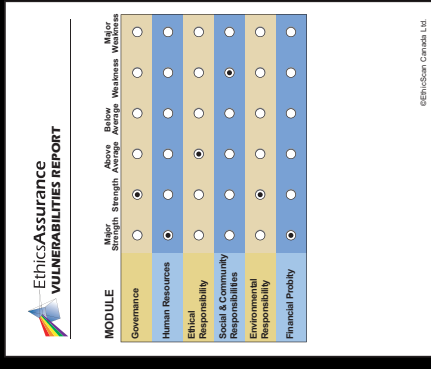
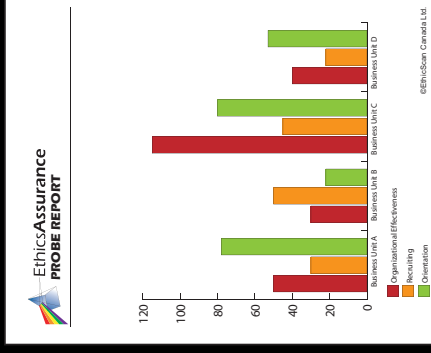
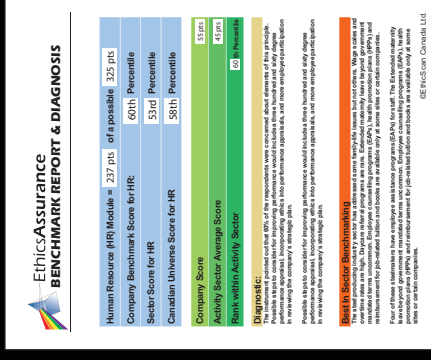
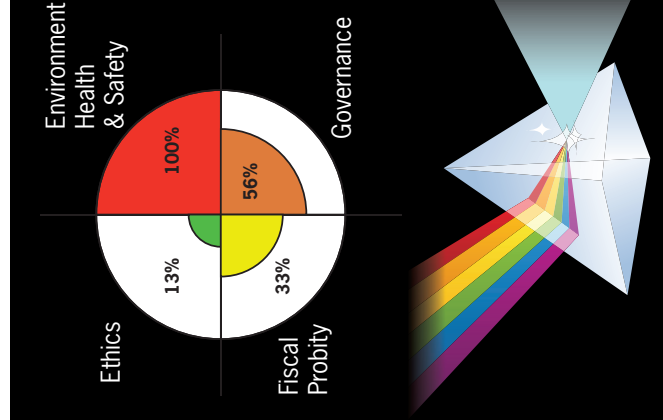
Employees are reluctant to come forward with concerns

- Incorporates an anonymous and confidential complaint mechanism, with built-in whistle blower protection
- Flags and identifies concerns even in areas not understood, appreciated or seen by an individual employee

Problem resolution

Identifying problems isn't helpful if no recommended actions or solutions are identified

- Sector-specific solutions at level CEO, Senior VP, and Board
- Action statements calibrated by activity sector



Sample of EthicsAssurance Reports

EthicsAssurance

Function or Need

Problem

EthicsAssurance as Solution

Executive empowerment

Risk of outside consultant dependency

- Library of consultants to help resolve diagnosed problems.

Ethics assurance

Strict financial reporting regulations don't make companies more ethical

- Provides ethics-based not compliance-based monitoring and reporting.

Sustainability

Do people and organizations have enough knowledge to make wise and appropriate decisions?

- Links to latest eco-sensitive international practices and national programs.

Pulse taking

Employee resentment due to survey fatigue

- An integrated platform with function-related customized surveys and probes

Benchmarking

Complacency creates a false security and reinforces the belief that as long as the rules are obeyed, nothing bad will happen

- Extensive review of improvement actions and advice even if few peers are implementing them.

Community engagement

Public doesn't read or believe existing corporate community reports

- User defined corporate responsibility reporting and feedback
- Direct sampling of and response from clients and customers

Community Reporting

Reporting is static (point in time), delayed and expensive

- EA hosts continuously-updated user-specified reports.



OTHER ETHICSCAN PRODUCTS

- social or ethics audits
- stakeholder engagement
- ethics guidance and training programs
- partnership screening analysis
- Corporate 1500 DataBase
- The Corporate Ethics Monitor
- Investor reports

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