



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.



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.



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.	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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)	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Sector-specific solutions at level CEO, Senior VP, and Board Action statements calibrated by activity sector

EthicsAssurance BENCHMARK REPORT & DIAGNOSIS

Human Resource (HR) Module #	237 pts of a possible 325 pts
Company Benchmark Score for HR	60th Percentile
Sector Score for HR	53rd Percentile
Canadian Universe Score for HR	58th Percentile
Company Score	55 pts
Activity Sector Average Score	45 pts
Rank within Activity Sector	20th Percentile

Diagnosis:
The benchmark process used the 60th percentile score of the respondents was compared against all of the people in the world. The benchmark score for the company is 55 points. The benchmark score for the sector is 45 points. The benchmark score for the universe is 58 points. The benchmark score for the activity sector is 45 points. The benchmark score for the activity sector is 45 points. The benchmark score for the activity sector is 45 points.

Best Sector Benchmarking:
The benchmark process used the 60th percentile score of the respondents was compared against all of the people in the world. The benchmark score for the company is 55 points. The benchmark score for the sector is 45 points. The benchmark score for the universe is 58 points. The benchmark score for the activity sector is 45 points. The benchmark score for the activity sector is 45 points. The benchmark score for the activity sector is 45 points.

EthicsAssurance PROBE REPORT

EthicsAssurance VULNERABILITIES REPORT

MODULE	Major Strength	Above Average	Below Average	Weakness	Major Weakness
Governance	○	○	○	○	○
Human Resources	○	○	○	○	○
Ethical Responsibility	○	○	○	○	○
Social & Community Responsibility	○	○	○	○	○
Environmental Responsibility	○	○	○	○	○
Financial Probity	○	○	○	○	○

Sample of EthicsAssurance Reports

Function or Need	Problem	EthicsAssurance as Solution
Executive empowerment	Risk of outside consultant dependency	<ul style="list-style-type: none"> Library of consultants to help resolve diagnosed problems.
Ethics assurance	Strict financial reporting regulations don't make companies more ethical	<ul style="list-style-type: none"> Provides ethics-based not compliance-based monitoring and reporting.
Sustainability	Do people and organizations have enough knowledge to make wise and appropriate decisions?	<ul style="list-style-type: none"> Links to latest eco-sensitive international practices and national programs.
Pulse taking	Employee resentment due to survey fatigue	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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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