

EthicsAssurance

Frequently Asked Questions

Q1. How is EthicScan related to EthicsAssurance

A1. EthicScan is a twenty-year-old, fee for service, full service, corporate responsibility research and ethics consultancy. EthicsAssurance 2.0 is a product that EthicScan recommends and uses, and in which its associates have a financial and royalty interest.

Q2. Who can be surveyed?

A2. Employees, clients, suppliers, customers, the public and any other invited stakeholders.

Q3. Are surveys updated regularly?

A3. There are a core of 62 surveys that are available to all licensees. Each client can create a personal library of individual questions and surveys on their own or in hybrid combination with those core surveys. Questions contain education updates, links to corporate standards, and definitions, which are drop downs in surveys, are location/jurisdiction sensitive, and are updated regularly.

Q4. Is EthicsAssurance a sustainable reporting tool?

A4. Yes, EA 2.0 can be used to automatically integrate and publish non-financial data on an organization's web-site. But EA is not limited to reporting. In addition, it not only provides such reports 24/7 (not just quarterly or annually) but also has whistle-blower, monitoring, risk planning, organizational effectiveness, data interpretation, audit and assessment, verification and education functions.

Q5. Does it address environment health and safety considerations?

A5. EHS is only one of six modules. The other five are ethics, fiscal probity, governance, human resources and social/community responsibilities. It is a process for collecting, analyzing and presenting non-financial performance data from across various business units, and across all industries. It is replete with soft metrics like diversity, conflicts of interest, marketing ethics, and quality of work life satisfaction.

Q6. How much time is required to prepare reports?

A6. Once a minimum number of surveys are completed, to ensure statistical validity and confidentiality, diagnostic answers and reports are instantaneous and can be updated throughout any given day. EA allows all business units to capture information consistently and in a timely fashion. A common platform allows users to assess the quality of consolidated information, to benchmark performance relative to one's peers, and to create an audit or verification trail of who entered what data, and when.

Q7. Are EA reports identical to public community/sustainability reports?

A7. No. EA readily improves external reports and an organization's on-line content, all in real time. EA allows for more continuous stories, complaints, postings, and other inputs in comparison to static external annual reports, typically issued 6-10 months after year's end. Contents are publishable in other than PDF format.

Q8. Is there any comparative information about the tool's performance relative to its competitors.

A8. Yes. Ask for the report *Enterprise Solution Comparisons* and another entitled *Value Proposition EthicsAssurance*.

Q9. What does the tool offer managers?

A9. EA 2.0 offers real time data to anticipate problems, propose solutions, and manage performance. Internal audiences receive integrated real time data so they can spend more time reviewing progress, analyzing trends, following up on concerns, and focusing on continuous improvement. Managers can drill down to see and cross reference data to the point that individual anonymity isn't compromised.

Q10. Who has access to our data?

A10. Only you have access to your data. For comparisons, you can also access and analyze aggregated, anonymous data for competitor/sister organizations.

Q11. Are your surveys world compliant?

A11. Yes, version 2.0 reflects standards in the US, the UK, and Canada. Survey responses are calibrated to comply with three hierarchical scales of analysis:

- a. lowest level : corporate compliance (Code of Ethics)
- b. best practice: if these are the choices, choose best within activity sector
- c. best international standards: UN, GRI, Trans National Codes standards

Survey responses are tabulated based on position/geographical area and rank in the company – these can be linked to your website, policies, targets, et cetera. Survey responses produce a number of reports by topic/module: HR, CR, Financial, and Community Engagement. Each benchmarks your units versus other companies or organizations.

Q12. Can we compare the results to other companies in our area, where we work, size of company etc?.

A12. Yes, so long as there are a statistically sufficient number of data points to warrant individual and organizational anonymity. Will we know what specific companies we are being compared to? No.

Q13. Once results of the tests are analyzed, what are the next steps? Do we receive any support from EthicsAssurance?

A13. Survey results are uploaded instantaneously and analyzed in real time. See attached draft Contract, page seven

Q14. Can we create a survey about anything?

A14. Yes Specific surveys can be created, customized and updated continually. If each company can create a survey, how will the results of the survey be calculated and compared to other companies? Data comparisons occur for questions and answers from

all EthicScan Library surveys and all Metrics Circle Surveys, but not for One On-One Off Company Library Surveys

Q15. Is there a capacity to customize education updates and questions based on geographical areas?

A15. Each EA system license comes with built-in continuous updates on standards by Ethics**Assurance** content experts and companies, all the former of whom are identified on the EA site; See description of Definitions and Education Updates

Q16. What is the CEO vulnerability report and why should we use it?

A16. This Board level report can be seen among the Sample Reports on the EA Web-site www.ethicsassurance.org

Q17. Can one of your associates look at one of our social responsibility policies, for example our Business Conduct and Ethics Policy?

A17. Consulting on your existing ethics, EHS, community, ethical sourcing and trading policies can be arranged directly with any Consultant posted on the EA Web-Site. Each one has helped shape part of the survey questions and answer options. EthicScan is wholly separate from your direct engagement of such a consultant. Your license allow you to permit that consultant to see whatever EA reports you allow him or her to access.

Q18. Does EthicScan have access to the data?

A18. No, absolutely Not. Our service provider (WorldAPP) assembles raw data but, even in that case, the identity of specific clients, the individual respondent, and an individual's specific responses are proprietary to your company's (internal) designated administrator.

Q19. Do we need new software?

A19. EA is a hosted enterprise solution. You do not have to install software, or back up a server, or use a browser not already installed at your organization. You should be able to create customized reports on the information captured by the EA platform.

Q20. How does one set up the software and questionnaire product?

A20. Ethics**Assurance** allows client companies to procure a license to make **questionnaires, surveys, probes, reports, education updates** available to their target group (whether that be employees, community members, the general public or any other group that the client feels it would like to survey), and then it **reports** on the responses.

To send a questionnaire out to a group (termed "carry out a survey"), the client must supply email addresses of the members of the target group ("respondents"). The EA system will then send an email to each respondent, inviting them to click on a link, which will take him or her to a survey screen; he or she then completes the questionnaire from there.

The results from the responses are stored in a table or tables in the main database, which is held at a facility operated by or on behalf of our US-based supplier. Due to the nature

of our questionnaires, no question elicits personally identifiable information (PII), and no PII is stored in the database.

One of the options that we expect most clients will use, is the ability for our software provider to be able to email the survey invitations direct to your recipients; indeed, some companies regard this as a positive, indicating that the survey does not come from a person's employer but from an independent third party. If this option is used, the database table will include the email address of the respondent. Some clients may regard this as PII; others may not. If the client uses this option, the system can also prompt survey recipients who have not yet responded, and urge them to do so.

If a client does not want to store the email address in the US-based database, there is another option available whereby the client can use their own email server to send out the email invitations to respondents. The email link that results from this would not include an email address, but a password, and it is this password that would be the "key" to allow the respondent to answer the survey, and would be the link allowing the reports to be produced. Because the US-based server would have no knowledge of the email address of the respondent, there would be no way to link these responses to the respondent, except for a table which is held in the client's servers, presumably outside the US. If this option is used, the "prompt overdue respondents" facility would not be available, because the US-based server has no knowledge of who the dilatory recipients are.