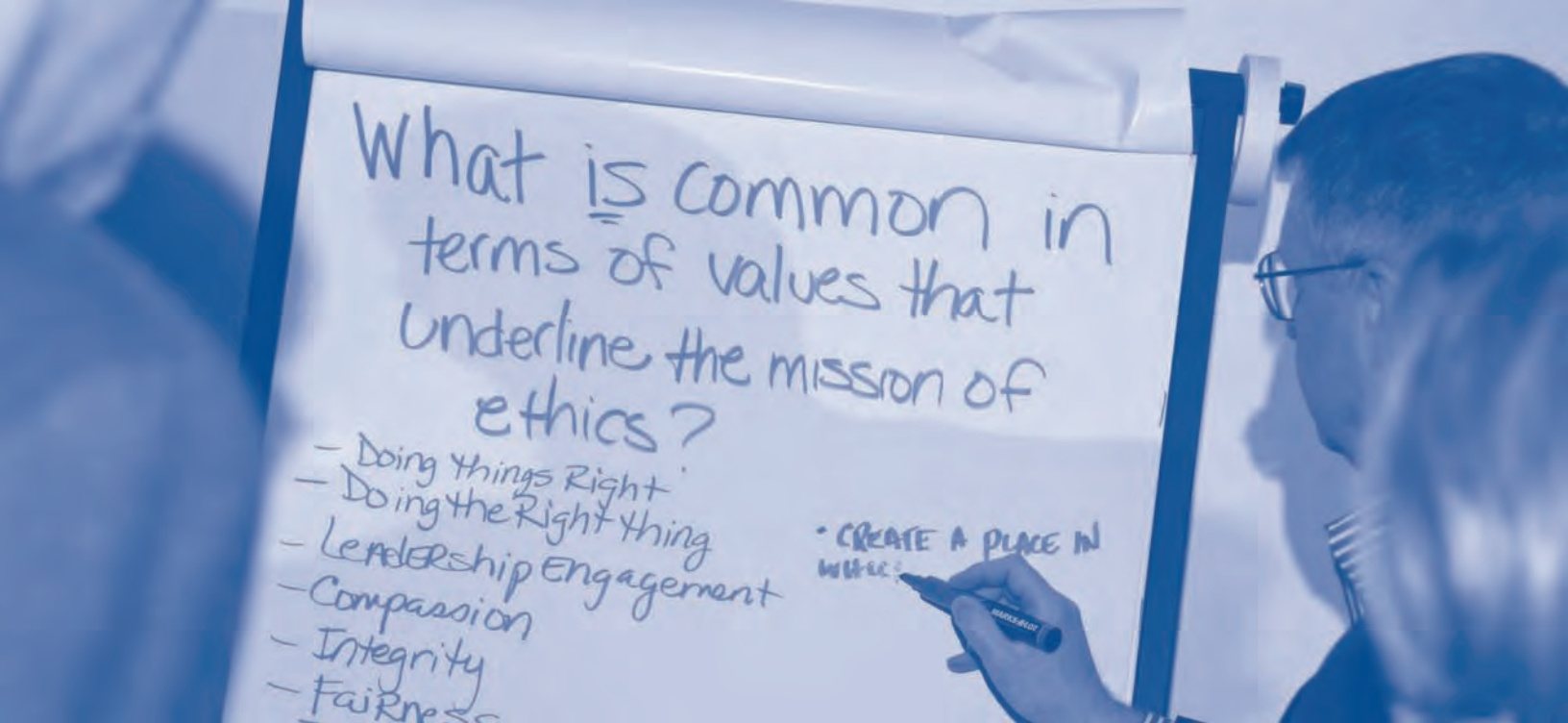




ETHICS
RESOURCE
CENTER

ANNUAL
REPORT
2006



About ERC

Now in its 85th year, Ethics Resource Center (ERC) is a key resource for institutions committed to a strong ethics culture, and its expertise informs the public dialogue on ethics and ethical behavior. A private, non-profit organization devoted to independent research and the advancement of high ethical standards and practices in public and private institutions, ERC analyzes current and emerging issues and produces new ideas and benchmarks that matter — for the public trust.

ERC began as American Viewpoint, founded in 1922 to prepare new immigrants for U.S. citizenship by focusing on the importance of individual responsibility in a democratic society. In 1977 American Viewpoint established the Ethics Resource Center; seven years later the organization adopted the ERC name as its own and shifted its focus to ethics in business, government, schools, volunteer groups and professional organizations.

The Ethics Resource Center is devoted to independent research and the advancement of high ethical standards and practices in public and private institutions. ERC uses its expertise to inform the public dialogue on ethics and ethical behavior.

ERC Mission Statement, 2007

Letter from the President

Whether running an organization or trying to impose a sense of order in our own lives, we often look to the calendar to mark milestones and trigger certain rituals. Labor Day traditionally marks the end of summer as we refocus on work and our children start a new year at school. The December and New Year holidays are a time of rest and renewal. Businesses break the calendar into quarters for timely assessment of performance.

But even as we take comfort from calendar milestones, we know that daily life does not really observe simple bright lines. Our experience is more like a continuum. Familiar challenges are joined by new ones; fresh opportunities arise before the old run their course. Consider the most recent parade of ethical dilemmas. Enron and WorldCom recede to be replaced by other controversies — stock option grants, influence peddling on Capitol Hill and violations of the Foreign Corrupt Practices Act.

Taking Our Own Measure

At Ethics Resource Center, 2007 is a year of continuum, including celebration of our 85th anniversary, as well as new beginnings. During 2006, we took a step back — for a hard look at ERC's strengths and weaknesses. We take great pride in the National Business Ethics Survey (NBES), our benchmarking datasets, ERC Fellows, and our character development initiatives. But the individual excellence of these programs, among others, is not a full report card on our overall performance.

We asked ourselves: Is our work still relevant and our research as good as it could be? Do ERC's individual initiatives reinforce one another for maximum benefit? Are we doing all we can to inform public discussion of ethical issues or, perhaps, are we operating below the public radar screen?

We concluded that ERC must do a better job of participating in and leading public discussion about important ethical issues. While ERC continues to set the standard in research and assessment, we determined that ERC should communicate more directly about broad ethical issues with leaders in government and in the corporate suite. We must work harder to align our own programs to reach common goals. Finally, we agreed that ERC must publicly communicate more clearly and more aggressively about who we are and what we aim to achieve.



Five Goals for Moving Forward

To convert our findings into action, we've developed five broad goals to guide us. These goals are our roadmap for 2007 and the years ahead.

1. Establish ERC as the pre-eminent independent voice on ethical issues in business and government.
2. Promote ongoing public dialogue about ethical issues among the most senior officials in both the public and private sector.
3. Reinforce ERC's leadership in ethics-related research by expanding its scope and examining issues of direct relevance to CEOs, corporate boards, and public policymakers.
4. Provide counsel and develop enhanced benchmarks to help public and private organizations better assess their ethics and compliance programs.
5. Expand on ERC's workplace research by adding two companion studies to the NBES, which is already considered the most trustworthy source of information in this area.

We believe that ethical issues should be a permanent part of America's national conversation, not just a fleeting response to the controversy du jour. To help achieve that national goal, we have set an ambitious agenda — but one we are confident is achievable. Some of the work involves “keeping on with keeping on.” Other goals will take us in new directions and require us to develop new skills. We embrace both the new and the old with enthusiasm — because building ethical cultures is important work.

In the following pages, we will tell you a little bit more about the work already underway to achieve our goals and the work that remains ahead.

Sincerely,

A handwritten signature in blue ink that reads "Patricia J. Harned". The signature is written in a cursive style.

Patricia J. Harned, Ph.D.
President

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hroughout 2007, Ethics Resource Center will celebrate a heritage of achievement.

Eighty-five years ago, under the name American Viewpoint, the Center began its journey of service by offering citizenship training to recent immigrants. By 1984, ERC had a new name and a singular focus on ethics as its mission. ERC Fellows came next — bringing together leading edge thinkers to share ideas and initiate research that supports the daily work of ethics' compliance and enforcement. It observes its 10th anniversary this year.

But even as it honors its history, ERC's eyes are fixed firmly on the future. The most important milestones of 2007 won't be the anniversaries. They will be the new journeys ERC begins.

The path ahead reflects the findings of an organizational self-evaluation as ERC considered whether it was carrying out its mission successfully. The review found that ERC's research remains the best in the field and that its work commands enormous respect among those who know it. ERC also concluded that its ambitions should be greater and its reach extended.

With guidance from the Board of Directors and the assistance of a small team of outside professionals, ERC has broadened its vision and developed a plan to introduce itself to a wider audience. In the years ahead, the Center intends to play a pivotal and more public role in the evolution of ethics in America. To guide this journey, ERC adopted a new mission statement and a set of broad goals. What follows is a report on what ERC has achieved so far and what lies in store for 2007 and beyond.

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H

ighlights of ERC Accomplishments 2006–2007

- ERC celebrates the organization's 85th Anniversary in 2007
- ERC Fellows celebrate 10th Anniversary as a program of the ERC
- ERC appointed as Interim Secretariat for a multinational donor-led Global Integrity Alliance (GIA)
- ERC and the Ethics and Compliance Officer Association (ECO) partner to launch the ECOA/ERC Benchmarking Initiative
- Working Values sponsors an ERC white paper & Web cast on *Critical Elements of an Organizational Ethical Culture*
- ERC forms the ERC Executive Council
- ERC Fellows Program develops a white paper, *Defining the Role of the Chief Ethics and Compliance Officer*, by Patricia Harned, President, ERC
- ERC Fellows Program working groups create *Ethics and Compliance Due Diligence and Integration Processes for New Acquisitions*
- ERC develops an online portal that provides 24/7 access to company survey data to be launched in early 2007
- ERC enters the public affairs arena in order to better inform those who influence public policy related to advancing high ethical standards and practices
- ERC offers a three-part webcast series on Understanding, Affecting, and Measuring Ethical Culture
- ERC establishes an online survey hosting tool and ability to scan paper surveys in-house to further protect company and employee confidentiality
- ERC receives \$174,000 (for an 18 month period) from the Claude Moore Charitable Foundation for its Character Development programs MAXIMIZE the Moment[®] and Student Ethics Office[™]
- ERC completes its Student Ethics Office Pilot (a multi-year effort), finalizes and publishes the SEO manual, maintains its SEO school partners, and launches an expansion effort

“For too many of the world’s poor, unethical leadership deprives them of fundamental human needs. The Ethics Resource Center has been a key partner with the World Bank in finding ways to support ethical leaders who will deliver essential services to the poor. ERC is making a difference by providing tremendous insight and experience to this vital endeavor.”

Sanjay Pradhan

Sector Director, Public Sector Governance, The World Bank

Goal 1 Establish ERC as the pre-eminent independent voice on ethical issues in business and government.

ERC's independence and experience uniquely position it to be an honest broker that informs public discussion and offers counsel to decision makers about ethics issues. Therefore, ERC aims to be the first place that business executives, government officials and the media turn to for guidance on pivotal ethics issues. That means raising its profile — an effort already under way with such initiatives as ERC President Patricia Harned's monthly column in *Compliance Week* and the distribution of the Center's whitepapers detailing new research. Over the next year, ERC will seek opportunities for Dr. Harned and other ERC officials to appear in a wider range of publications and participate in forums and conferences that reach a more mainstream audience than knows about ERC now.

ERC also will create new mechanisms for making its voice heard in public discussion — reaching out directly to senior officials in government to introduce ERC and offer our assistance to government ethics' initiatives; bringing together corporate leaders for small group discussions about ethical issues; and updating the *Ethics Today* on-line newsletter and other ERC publications to make them relevant to opinion leaders in both government and the private sector.

The Center plans an aggressive campaign to establish ERC as a “go-to” source for the news media. ERC intends to dedicate staff to building long-term working relationships with journalists and familiarize them with all of its research products, including the Fellows' work. Partnerships with like-minded organizations such as the Ethics and Compliance Officer Association also can provide platforms to raise ERC's visibility.



Ray Gilmartin, Co-Chair, ERC Executive Council

“The Ethics Resource Center's research and insights have taught organizations how to build cultures where the ‘right thing’ is better understood, where ethical dilemmas are identified and resolved, and where ethical behavior is rewarded and reinforced.”

Ray Gilmartin

Professor of Management Practice, Harvard Business School and Former President and CEO, Merck & Co., Inc.

Goal 2 Promote ongoing public dialogue about ethics issues among the most senior officials in both the public and private sector.

To help build ethical cultures in workplaces throughout America and ignite discussion about the dilemmas that confront us all, ERC will step up its participation in the public dialogue. Instead of waiting to be invited in, ERC will initiate.

A series of ERC Web casts during May and June 2006 drew hundreds of professionals into a live discussion of key issues, including the definition of “ethical culture” and how leadership can help bring it about. The ERC Fellows program, in its conferences and research initiatives, is a forum for compliance and ethics executives at more than six dozen business, government, non-profit, and academic organizations to conduct research to enhance ethical cultures as spelled out in ERC’s new mission statement. Fellows’ research provides specific, operational counsel and assistance in the implementation of institutional ethics and compliance programs.

In 2007, as ERC celebrates the 10th anniversary of the Fellows Program, the Fellows will focus new discussions on “Leading Integrity” and how to permanently implant an ethical culture in organizations. Fellows’ research, such as an upcoming paper on the role of a Chief Ethics and Compliance Officer, will be disseminated more widely than ever before to reach policymakers and business leaders at the highest levels. Additionally, ERC will challenge the Fellows to lift their sights beyond compliance and look for opportunities to make ethics a top priority within their organizations.

ERC intends to initiate ethics conversations that reach into the Boardroom, the corporate executive suite, and the senior levels of government. Central to this effort is this year’s launch of a new “ERC Executive Council” — a select group of corporate chairs, CEOs, presidents and other senior officials across industry and government. Under the leadership of Ray Gilmartin, the former Chair and CEO of Merck & Co., the Executive Council aims to become a leader in driving public conversation about ethics. The Council anticipates an initial focus on character development, strengthening public trust in business and corporate conduct in the era of Sarbanes-Oxley. Also new on the 2007 planning agenda are informal “Dialogue Dinners” to promote candid discussion among business and governmental leaders about the future of ethics in America.

ERC also will devote additional resources to character development programs. The drawing board includes the design of benchmarks for school character education programs and research around the ways organizations can support character development among employees. This new work complements existing efforts such as MAXIMIZE the Moment, a set of ethics training materials focused on students. ERC released the series’ sixth volume in 2006.

Goal 3 Reinforce ERC's leadership in ethics-related research by expanding its scope and examining issues of direct relevance to CEOs, corporate boards, and public policymakers.

ERC remains the leader in research related to the assessment of ethics programs and their effectiveness. In recent years, the Center has launched numerous initiatives to expand both the quantity and quality of the data it collects (see next section). However, ERC has generally devoted less energy to “thought leadership,” a deficit that it is going to reverse. Building a broader research agenda based on discussions with senior business leaders is a key objective for the new ERC Executive Council.

ERC will engage with leading corporate executives, academic thinkers, and government leaders to identify critical issues and learn what they consider their most pressing challenges. Drawing from ERC's pool of data, its store of intellectual capital, the experiences of ERC Fellows, and the insights of

others committed to the study and advancement of ethical behavior, ERC will deliver research products and white papers that take a deep look at timely issues from the perspective of America's decisionmakers.

The precise research agenda will evolve in response to events and ongoing dialogue with opinion leaders. Among significant policy issues tentatively identified for examination are establishing “tone at the top” and building trust in capital markets. ERC also is exploring ways to deliver forward-looking research that identifies organizational traits or circumstances such as rapid expansion or merger and acquisition activity that might signal vulnerability to ethical misconduct.



*Mary Robinson, former President of Ireland
with Patricia Harned, President of ERC*

“The Ethics Resource Center is a unique resource for both government and private sector leaders. With 85 years of independent experience in advancing ethical conduct it is a place we all can look to for guidance about the ‘right thing to do.’”

Fred F. Fielding

White House Counsel and

Former Vice Chair, ERC Board of Directors

Goal 4 Provide counsel and develop enhanced benchmarks to help public and private organizations better assess their ethics and compliance programs.

Over the past three years, ERC has developed an impressive array of new data streams and enhanced research products to assist companies with ethics program development and compliance.

In partnership with the Ethics and Compliance Officer Association (ECOA), the Center has established an agenda to provide research on best practices among ethics and compliance programs. ERC and ECOA have collaborated on a benchmarking initiative that provides ERC with new data sources and offers key ethics benchmarks to every ECOA member. The benchmarks will be updated every six months.

ERC also added to its data pool through a joint research project with Working Values Ltd. that helped Working Values' clients identify ethics risks. And ERC's "Donate Your Data" initiative is capturing still more data through tax deductible donations of datasets from corporate ethics and compliance surveys.

ERC's appointment as Interim Secretariat for the Global Integrity Alliance has opened windows on ethical issues around the world

and is helping ERC understand how cultural experiences influence values. Participation in GIA also provides access to a global pool of data about ethical practices, introduces the Center to talented individuals and partners from every part of the globe, and provides insight into the unique ethics challenges facing multi-national companies.

Drawing from the Center's various datasets, especially its own National Business Ethics Survey, ERC also has developed robust survey instruments to assess the outcomes of organizations' ethics and compliance programs. With the combination of its existing data and new information from companies seeking to understand their organizations' ethics, ERC can provide customized assessments about variables such as the prevalence of misconduct and the impact of informal culture on employee behavior. The Center also is working to provide compliance officers with new industry-specific benchmarking tools, enabling them to directly measure their organizations against their peers.

"As academic researchers on business ethics, we depend entirely on the quality of the available data. ERC data utilize rigorous sampling and are of the highest quality. The culture measures used to gather these data provide an excellent example that draws on the work of leading scholars in the area. Because of ERC's well-executed methods and measures, we can be very confident of the results we obtain in our analyses."

Marshall Schminke

Professor of Management, University of Central Florida

Goal 5 Expand on ERC's workplace research by adding two companion studies to the NBES, which is already considered the most trustworthy source of information in this area.

ERCs' NBES survey is already the best of its kind, providing the most complete and reliable research on organizational ethics as seen through workers' eyes.

The fifth NBES, to be fielded and released in 2007, will entrench NBES's leadership post by providing an even richer set of data. The 2007 survey will provide expanded results by industry sectors and new demographic categories including age, ethnicity and gender.

Looking ahead, ERC will add two distinct new research products — a National Government Ethics Survey and a National Non-Profit Ethics Survey to debut in 2008. This trio of surveys will become part of a new National Workplace Ethics Survey that provides ethics and compliance data for every type of American workplace. Over the longer-term, ERC also hopes to create an international version of the survey to provide guidance to multi-national businesses.

An Exciting Challenge

Building an ethical culture is a process that does not end. Making ERC as effective as possible also involves continuous effort. ERC has the experience, the expertise, the vision, and the commitment to get the job done.

The people of ERC are both challenged and excited to pursue these expanded goals and continue to seek new ways to drive ethics forward in the years ahead. Ten years from now, when ERC commemorates another decade, 2007 can be the year that launched the Center to new thresholds of achievement.



“ERC promotes honesty, excellence, respect and trust as the pillars of good corporate governance. I am proud to contribute to that effort.”

Stephen D. Potts

Chair of ERC and

Former Director, U.S. Office of Government Ethics

Stephen D. Potts, Chair of ERC Board of Directors

ERC Fellows

The ERC Fellows Program, which celebrates its 10th anniversary in 2007, is pressing forward with a research agenda focused on providing practical guidance for organizations working to enhance internal ethics programs. During 2006, for example, a Fellows working group examined employees' attitudes toward misconduct and the circumstances in which workers report their colleagues' misconduct. This year, a second working group will report on the effectiveness of incentive programs in encouraging ethical conduct within organizations.

The Fellows, which now includes participants from more than 40 organizations, also will continue its examination of the broader issue of integrity leadership and the development of ethical cultures in organizations. In particular, the Fellows will consider how effective leaders translate their own ethical conduct into organizational behavior.

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ERC Needs Your Support

ERC relies on broad-based financial support from organizations and individuals who share our dedication to building a more ethical society. ERC is a non-profit, non-partisan educational organization exempt from taxation under the Section 501 (c) (3) of the Internal Revenue Code. All gifts are tax-deductible to the fullest extent of the law. The generosity of our supporters enables us to further our mission and there are numerous ways to help:

- **General support** contributions allow us to develop and implement programs that foster a more ethical culture in schools, communities and businesses, as well as conduct research to advance thinking in applied ethics.
- **Unrestricted contributions** are often combined with fee-for service revenue and fund everyday expenditures, such as general operating expenses and salaries; resource development and outreach, ERC website and *Ethics Today Online* newsletter; publication of informational materials, and the annual report; research and fundraising; and program design and evaluation.
- **Restricted revenue and specific project opportunities** include supporting the National Business Ethics SurveySM (NBES), conducting research for your organization, producing a Whitepaper; sponsoring Character Education efforts in the school system; sponsoring *Ethics Today Online* or a portion of the ERC website.
- **Donate Your DataTM** enables organizations to donate datasets from completed ethics survey questions, after removing identifiers, to the ERC for further research. ERC will combine data with other collected datasets in order to conduct research on ethics program effectiveness and to enhance our datasets for benchmarking. Donations of datasets through the program are tax-deductible.

To learn more about sponsorship opportunities or making a tax-deductible contribution, contact us by email at ethics@ethics.org or telephone at 202.737.2258.



ERC Fellows Working Group Research

Statement of Financial Position

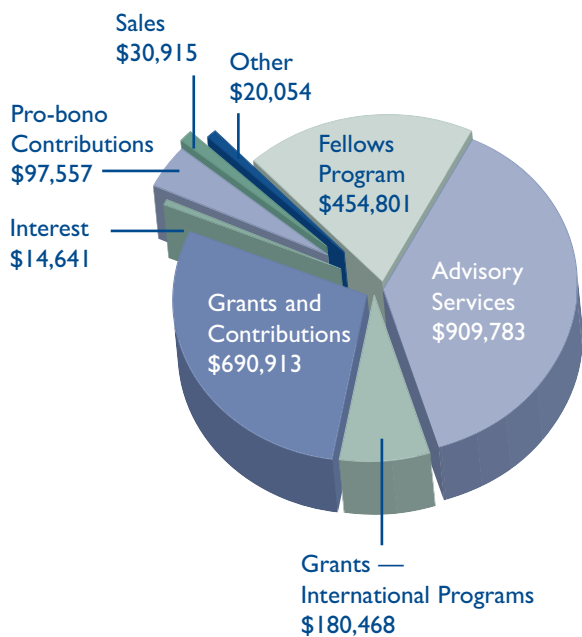
(as of June 30, 2006)

ASSETS	
Cash	284,134
Investments	232,214
Accounts/Grants Receivable	299,152
Other Assets	24,590
Net Property & Equipment	42,315
TOTAL ASSETS	882,405

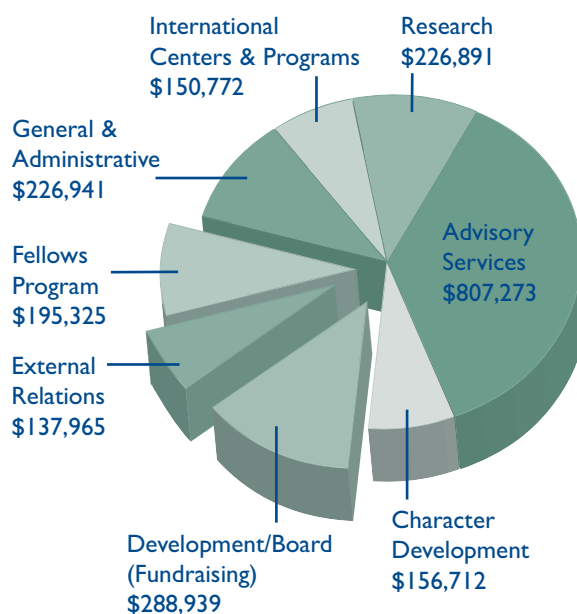
LIABILITIES	
Accounts Payable	149,903
Other Liabilities	112,132
TOTAL LIABILITIES	262,035

NET ASSETS	
Unrestricted	251,793
Temporarily Restricted	142,077
Permanently Restricted	226,500
TOTAL NET ASSETS	620,370
Total Liability & Net Assets	1,764,810

REVENUE BY SOURCE \$2,399,132



EXPENSES BY PROGRAM \$2,190,819



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oming in the Fall of 2007

National Business Ethics Survey®

ERC is pleased to announce the rollout of the *2007 National Business Ethics SurveySM (NBES)* in October. As ERC begins to launch the fifth version of NBES, we strive to continue to uncover the most meaningful and useful data that companies worldwide may utilize to improve their ethics and compliance programs. The NBES, conducted biennially, identifies trends in organizational ethics from the perspective of our nation's workforce, utilizing a statistically valid random sample of the US employed population. In addition to its core question set, each version of the survey has evolved along with the nation's business, expanding to include relevant questions pertaining to contemporary issues.

Select Guiding Questions:

- Are there industry sectors that are ahead of the curve in addressing ethics?
- What is the role of culture in encouraging or discouraging ethical conduct?
- To what extent is an organization "at risk" for misconduct?
- What are the factors that influence employees' willingness to report misconduct?
- What behaviors can leaders employ to create a proper "tone at the top"?

New Innovations:

- Improved sampling to represent traditional demographics (age, race, gender);
- Inclusion of additional questions of interest to the media, increasing public attention to the NBES findings;
- Supplemental fundraising and fielding of special versions of NBES to employees from select industries;
- Expansion of our culture measures; and
- Expansion of measures examining the influence of leaders on employee behavior.



Many business leaders and corporations demonstrate their commitment to the practice of higher ethical and moral standards in the workplace through sponsorship of NBES. Sponsorship opportunities for 2007 are still available. For more information, contact Moira McGinty Klos at 202-872-4774 or moira@ethics.org.



Advancing High Ethical Standards and Practices

Ethics Resource Center
www.ethics.org