

Ombudsman-like role created

In today's business world, most companies have created an ombudsman-like role where customers, organizations and individuals can flag issues or register their concerns. At EDC, this role falls under the mandate of our Compliance Officer, an independent, highly-skilled mediator who listens, investigates and responds to concerns and issues raised.

What is a Compliance Officer?

The Compliance Officer acts like an independent mediator between parties, so that a mutually satisfactory solution can be found. At EDC, the Compliance Officer helps to identify and address concerns while striving to maintain a balance of impartiality and fairness.

The Compliance Officer has three roles:

- To provide complainants with a resolution mechanism;
- To offer EDC advice on ethical business practices;
- To recommend compliance audits to determine if EDC is following its corporate social responsibility practices and policies.

Who can request a review?

Anyone can request a review on issues relating to EDC's public disclosure of information, environmental reviews, human rights and business ethics.

Anonymous complaints will not be investigated.

What issues can I raise?

The Compliance Officer can review complaints concerning certain corporate social responsibility policies of EDC, namely: public disclosure of information, environmental reviews, human rights and business ethics. You can register your concerns if you feel that EDC has not complied with these policies.

How can I register my concern?

Complaints can be made in writing in English or French via mail (Compliance Officer, Export Development Canada, 151 O'Connor Street, Ottawa ON K1A 1K3), fax (613-597-8534), by e-mail (complianceofficer@edc.ca), or hand delivered to the O'Connor Street office. You can also file electronically using our "Request for Review Form" available on EDC's web site at www.edc.ca/compliance.

What information is needed?

These details can help us to speed up the process:

- Name, address, phone/fax number, cell phone, email address;
- A description of your concern;
- Any background information including any action you have already taken to resolve the issue;
- What you expect from the process.

What happens to my submission?

The Compliance Officer will contact you within a reasonable period of time to let you know if your submission falls within the office's mandate and to let you know how long the review may take. You will receive periodic updates throughout the investigation.

If the Compliance Officer decides that your submission does not fall under the office's mandate, you will receive a letter explaining why this decision was made.

When the submission does fall within the office's scope, a preliminary assessment is done to determine how it should be handled. This 'call to action' looks at problem-solving techniques such as dialogue, facilitation or negotiation.

If it is felt that further investigation or problem-solving techniques will not resolve the problem to the satisfaction of either party, you will be advised in writing.

When this happens, the Compliance Officer can make a recommendation to EDC's Board of Directors about future action to address the concerns raised.

Who follows up?

The Compliance Officer can ask EDC to put a monitoring and follow up plan in place to ensure the concerns are being addressed.

What about confidentiality?

Confidentiality is paramount. A reasonable level of confidentiality encourages an open and flexible attitude toward problem solving. Therefore, communication during the resolution process is regarded as privileged. As well, confidential information provided to the office to support a complaint will not be released without consent.

What is a compliance audit?

A compliance audit can be conducted by EDC's internal auditors or an external third party to verify whether or not EDC is complying with its policies, procedures and guidelines. This audit takes place separate from the complaint process.

If the audit reveals flaws or that the policies, procedures or guidelines are not being followed, these are brought to the attention of EDC and recommendations made on how they can be improved.

What role does the Compliance Officer play in an audit?

The Compliance Officer can recommend that a compliance audit be done if, during an investigation, a gap is identified in the processes followed to implement EDC's policies, procedures and guidelines. (Again please note this relates to only policies dealing with public disclosure of information, environmental reviews, human rights and business ethics.)

When a compliance audit is conducted, the Compliance Officer "oversees" the process. This means the Officer is kept aware of developments and may be asked for advice during the process but

is not directly involved in the actual audit. At the conclusion, the Officer is involved in recommending solutions to resolve problems that have been identified.

What happens to those recommendations?

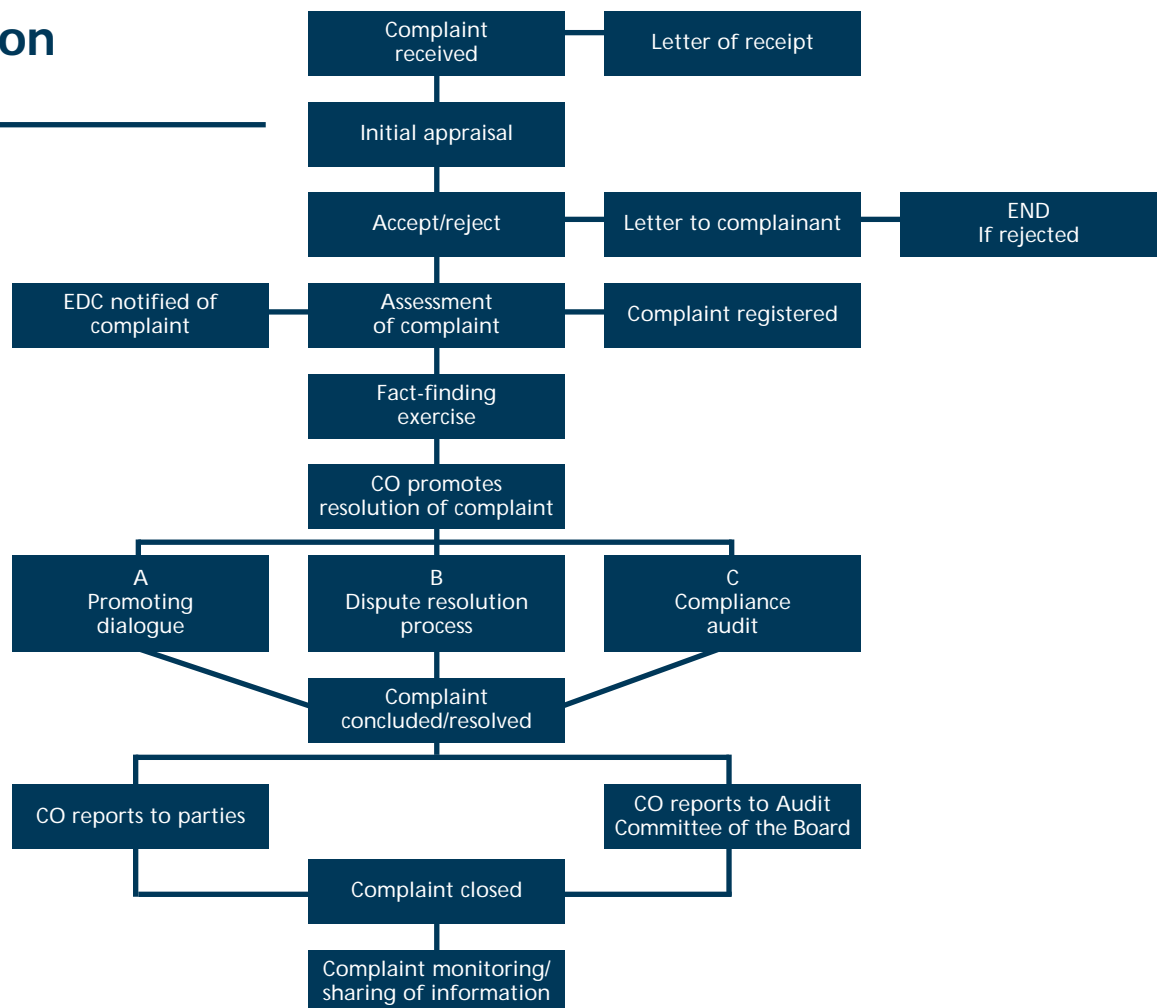
As is the case with all ombudsman-like roles, recommendations made by the Officer are not binding on EDC. However, the Compliance Officer reports quarterly to the Audit Committee of the Board of Directors of EDC on the highlights of recommendations made during the quarter and the status of these recommendations. Any recommendations that were not accepted are captured in this fashion. EDC understands that accountability is a factor and that recommendations must be taken seriously and, whenever possible, acted upon.

Where can I get more information?

You can visit our web site at www.edc.ca/compliance or email us at complianceofficer@edc.ca for an information kit. Your ideas, comments and concerns about the process are always welcome.

Please mail your review form to: Compliance Officer, Export Development Canada, 151 O'Connor St., Ottawa ON K1A 1K3.

Resolution Process



There is no strict requirement to comply with a specific format other than we do require you to make your complaint in writing.

Name: _____

Please indicate if you are representing a group and, if so, provide contact details for the group you represent.

Mailing address (including postal code).

Email: _____ Telephone: _____

Fax: _____ Cell: _____

Confidentiality: Authorization to release information regarding this request Yes No

Identify and provide details about the policy/guidelines/procedures that you feel have not been complied with by EDC. Please be as specific as possible.

