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Ms. Leimer Tejeda
Transparency and Disclosure Team
United Nations Global Compact
Two United Nations Plaza
New York, NY 10017

It is with pleasure that we reaffirm ASG Advisors' commitment to Ten Principles of the United Nations Global Compact in the areas of Human Rights, Labor, Environment and Anti-Corruption. Please find enclosed descriptions of our actions pursuant to integrating the Global Compact and its principles into our business strategy, culture and daily operations. As strategic philanthropy consultants to corporations, we believe the tenets promoted by UNGC have particular relevance to the advice we give to organizations.

This letter formalizes our commitment for another year, concluding October 2015.

Warm regards,

Matthew M. Barnes

Matthew Barnes
Partner, ASG Advisors

UNGC Communication on Progress: 2014

Human Rights Principles

Principle 1: Businesses should support and respect the protection of internationally proclaimed human rights; and

Principle 2: make sure that they are not complicit in human rights abuses.

Adherence to basic human rights is a critical underpinning of our corporate mission and culture. Indeed, our research-based philanthropic advisory services to large and midmarket enterprises have central to their design a commitment to affirming “the dignity and worth” (UDHR) of every human being and to working “to promote social progress and better standards of life.”

Assessment, Policy and Goals

- Our major engagements—recent examples include strategic planning advice for Horizon Blue Cross Blue Shield and Novo Nordisk—usually include as a first step a community needs assessment, which is a deep-dive into the social and economic challenges and opportunities faced by the relevant communities.
- Understanding the unique human needs and opportunities for improvement makes the interventions these corporations employ more likely to succeed.
- Through ASG’s work with the Community Foundation of New Jersey’s anti-human trafficking work, we have helped espouse the spirit of Article 5 of UDHR (“No one shall be subjected to torture or to cruel, inhuman or degrading treatment or punishment.”). Specifically, our role is to raise awareness of the issue of human trafficking and to promote successful interventions among philanthropically inclined New Jerseyans to combat it.

Implementation

- Internally, we have begun the process of requiring strategic partners to signify agreement to the 10 principles in order for them to be a collaborator with our firm.
- Further, we enforce a culture of mutual respect for all those inside our firm and those with whom we partner.

Measurement of Outcomes – Looking Ahead

- We intend to encourage existing and any new clients not already a member of the UNGC to evaluate the program and give serious consideration to becoming a signatory.

Labor Principles

Principle 3: Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining;

Principle 4: the elimination of all forms of forced and compulsory labor;

Principle 5: the effective abolition of child labor; and

Principle 6: the elimination of discrimination in respect of employment and occupation.

Assessment, Policy and Goals

- We are outspoken advocates of Article 2 ILO Core Conventions through our work with the anti-trafficking and forced labor taskforce and donor group at the Community Foundation of New Jersey (see: <http://www.cfnj.org/creating/issues/lending-a-hand/cfnj-fights-human-trafficking-with-soap>),
- In our work with Boys and Girls Club of New Jersey and America and HBCBSNJ, we have been highly engaged in work to introduce disease and accident prevention to underserved communities.
- Our managing partner's development of the research report, *The Role of the Extractive Industry in Driving Social Development in Conflict Contexts* (University of Cambridge 2013), had explicit treatment of labor and other inclusive economic considerations for the oil, gas and mining industries operating in conflict-affected zones.

Implementation and Outcomes

- Internally, our "open door policy" with respect to grievances is well-known within our small enterprise, and candor is encouraged.
- We support medical payments and reimbursements for our full-time employees.
- In our ten years of operation, we have had zero (0) workplace injuries.

Environmental Principles

Principle 7: Businesses should support a precautionary approach to environmental challenges;

Principle 8: undertake initiatives to promote greater environmental responsibility; and

Principle 9: encourage the development and diffusion of environmentally friendly technologies.

We are a small firm with a small carbon and environmental impact. Nevertheless, we do have protocols in place to minimize our adverse environmental impact.

Assessment, Policy and Goals

- Espousing the practical and reputational benefits of environmental responsibility is central to our organization's value proposition.
- We encourage a work-from-home policy wherein employees and contractors are free from communities with carbon impacts, and we have instituted recycling programs at two of our work centers. When possible, we encourage carpooling to client sites rather than driving individually.
- ASG has implemented a 13-point "go-green" initiative for people working from home, which includes specific guidance on decreasing energy (turning off peripherals) and paper use.
- With the exception of our place-based consulting services, we estimate that our conference call-to-in-person meeting ratio exceeds 10-1, which significantly mitigates our carbon impact.
- Fallow land reclamation and urban agriculture figured largely into our engagement with Novo Nordisk on their urban philanthropic initiatives.

Looking Ahead

We intend to "dial up" our environmental sustainability advisory work in 2015 to offer a fuller suite of corporate sustainability advice. This will come through either a direct hire or joint venture collaboration with a subject area expert.

Anti-Corruption Principles

Principle10: Businesses should work against corruption in all its forms, including extortion and bribery.

As a general matter, proper ethics is a critical moral and practical obligation. We have the good fortune of working with demonstrably ethical enterprises and have never felt encouraged to compromise our ethics. Indeed, being highly ethical is a market strength for our firm.

Assessment, Policy and Goals

- From a policy perspective, it is explicitly forbidden within our firm to seek direct benefit (outside of our fee) for any of the work we do, including counseling corporate foundations on which NGOs ought to receive funding.
- Our work can, from time to time, co-mingle with government and public affairs efforts, and care is taken never to compromise relationships corporations have with elected and regulatory actors.

Measurement of Outcomes

- In our 10 plus years of operation, we have not been legal cases or rulings, a testament to our commitment to high ethics.

Looking Ahead

- We intend to identify and deploy an online training with respect to corruption that is appropriate for an organization our size and for the field in which we operate.

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