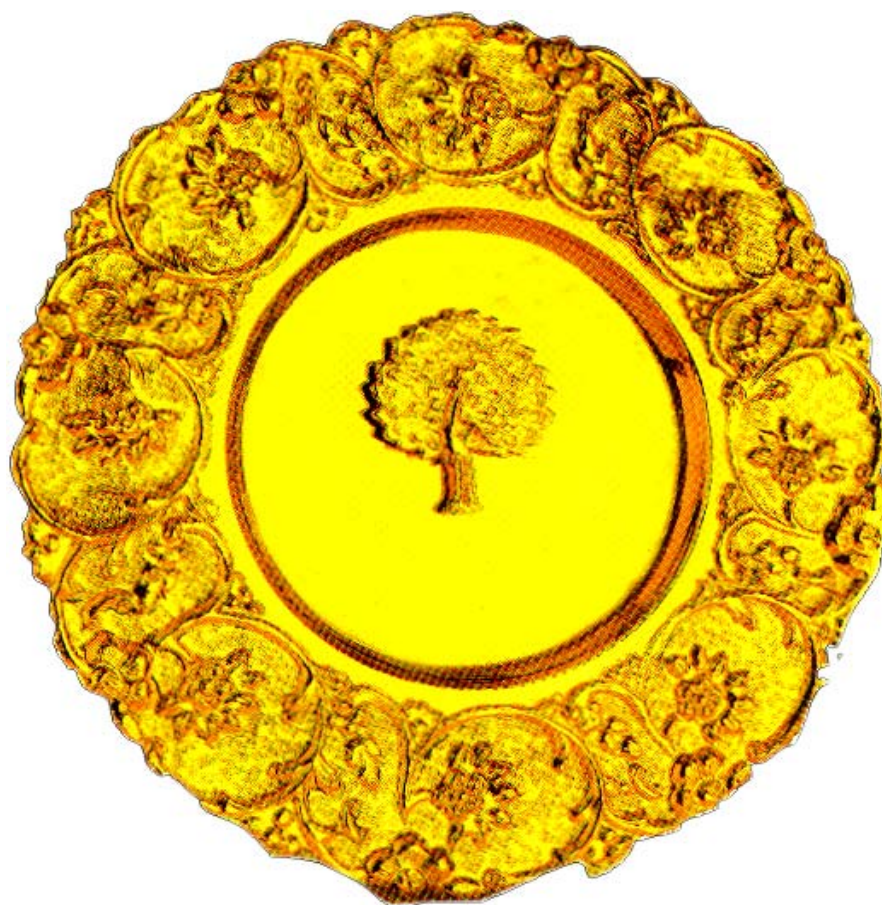# Golden Peacock Award for Corporate Social Responsibility (GPACSR)

Guidelines & Application Form

www.goldenpeacockawards.com

"Excellence in Corporate Social Responsibility is exceeding the compliance regime of the regulatory framework and constructively engage with stakeholders to proactively respond to their needs and expectations with a view to making a palpable difference to the quality of life of the communities involved."

Dr. Madhav Mehra
President
World Council for Corporate Governance

Contents

Corporate Social Responsibility (CSR)

PART I - Background

Purpose

The purpose of Corporate Social Responsibility (CSR) is to give attention to social and environmental concerns in addition to economic goals, and encourage companies to balance financial profits, economic value addition and social good. CSR is the continuing commitment by business to behave ethically and contribute to economic development while improving the quality of life of the work force, their families as well as of the local community and society at large. Business need a stable social environment that provides a predictable climate for investment and trade. Understanding societies expectation is quite simply enlightened self – interest for business in today's interdependent world.

Sustainable development, like building a successful business, requires taking the long-term view. It also requires the integration of social, environmental and economic considerations to make balanced judgements. Business and society are interdependent and business must take full account of the societal expectations.

Business practices must be built around stakeholder analysis and engagement, including understanding stakeholders' aspirations and needs and then communicating with and interacting with stakeholder groups in a way that reflects the needs and aspirations of society.

Factors Leading to Corporate Social Responsibility

- New concerns & expectations from citizens, consumers, public authorities and investors in the context of globalization & industrial change.
- Increasing regulatory pressure on social & ethical dimensions of corporate activity.
- Social criteria, which increasingly influences the investment decisions of individuals and institutions both as consumers and as investors. A survey of 43 million consumers showed that 77% was positively inclined towards brand names connected to humanitarian goals, while 67% would expect more companies involved in systematic social activities.
- Transparency of business shown by the media & modern information & communication technologies.
- The challenge for a successful company in the global economy is to build and maintain efficient, effective and fair relationships with its (global and local) stakeholders.
- Corporations are not judged by the comunity on their results, but on their behaviour too.
- Increasing concern about the damage caused by economic activity to the environment

Benefits from Using these Guidelines

- Increased brand value
- Greater access to finance
- A healthier and safer workforce
- Stronger risk management and corporate governance
- Motivate people
- Customer loyalty, and enhanced confidence and trust of stakeholders

- These guidelines will ensure that CSR is truly embedded in an organization's day to day business, policy and strategy and will address all stakeholders. CSR will not just be an 'add-on' or a one time only subject, but will be integrated into organization's management practices and culture.
- These guidelines can also be reviewed as a separate CSR instrument and are therefore also easy to implement by enterprises. Additionally organisations can easily integrate CSR into their existing management systems (for example ISO - 9001, ISO - 14001 and OSHAS 18001 etc.).

Fundamental Concepts of Excellence

The 8 Fundamental Concepts of Excellence	
Results Orientation	Excellence is achieving results that delight all the organisation's stakeholders
Customer Focus	Excellence is creating sustainable customer value
Leadership and constancy of focus	Excellence is visionary and inspirational leadership, coupled with constancy of purpose
Management by Processes and Facts	Excellence is managing the organisation through a set of interdependent and interrelated systems, processes and facts
People Development and Involvement	Excellence is maximising the contribution of employees through their development and involvement
Continuous Learning, Innovation and Improvement	Excellence is challenging the status quo and effecting change through learning to create innovation and improvement opportunities
Partnership Development	Excellence is developing and maintaining value-adding partnerships

Excellence in Corporate Social Responsibility is exceeding the minimum regulatory framework in which the organisation operates and to strive to understand and respond to the expectations of their stakeholders in society. An analysis of CSR would involve meeting the needs of all stakeholders and not just shareholders against some form of ethical basis. This basis describes the following key principles:

- To treat employees fairly and equitably;

- To operate ethically and with integrity;

- To respect basic human rights;

- To sustain the environment for future generations;

- To be a caring neighbour in their communities.

The corporate social performance model		
• Legitimacy • Public Responsibility • Managerial discretion	• Environmental Scanning • Stakeholder management	• Social Impacts • Social policies
Principles of Social Responsibility	Process of Social responsiveness	Outcomes of corporate behaviour

Impact on society

The pioneers of Indian Industry, during the colonial era, were leaders not only in the economic but also in the social field and many of them were men of great vision fixed by ideas beyond the mere making of money. Thus, it was only natural that India's business leaders made yeomen contribution to the freedom struggle. Over the years, the vision has spread and a growing number of entrepreneurs have contributed to India's social development.

The social dimension of sustainability captures the impact of an organisation's activity on society, including on employees, customers, community, supply chain, and business partners. Social performance is a key ingredient in assuring an organization's license to operate, and supports the organization's ability to deliver high-quality environmental and economic performance. Many stakeholders believe that reporting and improving social performance enhances reputation, increases stakeholder trust, creates opportunities and lowers costs.

At present, reporting on social performance occurs infrequently and inconsistently across organisations. While there is some agreement on measures for certain dimensions of social performance, they are not as well developed.

Principles

Centre for Social Responsibility believes that the following principles play an active role in spreading the CSR movement **:-**

1. Motivating companies to contribute to society by organising seminars and conferences on subjects of social concern and role of the corporate sector.

2. Integrating and synergising the work done by various organizations, NGOs, Corporate Sector, Govt. and International Agencies.

3. Participating in the developmental programmes by conceiving, implementing or monitoring various projects and programmes.

4. Encouraging individuals and institutions to participate in social development by bestowing awards and recognizing their contribution.

5. Empowering regional chapters of CSR to take up similar activities at the regional level.

6. A coherent CSR strategy, based on integrity, sound values and a long-term approach, offers clear business benefits to companies and a positive contribution to the well-being of society;

7. A CSR strategy provides the opportunity to demonstrate the human face of business;

8. Such a strategy requires engagement in open dialogue and constructive partnerships with government at various levels, IGOs (intergovernmental organizations), NGOs (non - governmental organizations), other elements of civil society and, in particular, local communities;

9. In implementing their CSR strategies, companies should recognize and respect local and cultural differences, whilst maintaining high and consistent global standards and policies;

10. Finally, being responsive to local differences means taking specific initiatives.

Managing Social Issues

For many companies, managing corporate social responsibility is no longer seen as an extra cost or burden on hard-pressed management. Rather, CSR is increasingly viewed, not only as making good business sense but also contributing to the long-term prosperity of companies and ultimately its survival. Being a good neighbour and showing that you care on the one hand and being a successful business on the other, are flip sides of the same coin.

Increasingly companies manage social issues in the same way as they manage any other strategic business issues and there are a growing array of tools available to assist and guide them. It is important to recognize that CSR means more than promulgating company's own values and principles. It also depends on understanding the values and principles of those who have a stake in, or are affected by, its operation. ■

Golden Peacock Award for Corporate Social Responsibility

Part - II GPA CSR Scheme

Introduction

Opening of Indian economy to international competition, and the growth of the information society marked by greater media penetration and a more discerning consumer community have made corporates to realize that transparency, accountability and the company's image are critical to maintaining their credibility in the public eye.

Corporates, as they grow in strength in a rapidly globalizing environment, their contribution to the development of society becomes increasingly pertinent. The emergence of what has now come to be known as CSR (Corporate Social Responsibility) has been critical for the millions of people left below the poverty line. Innovative partnerships between businesses, governments, and the civil society hold the potential to touch the lives of millions leading to enhanced quality of living through better access to essential services. However, the social obligations of corporates are not restricted to community development alone; they also encompass employee welfare, customer care, supply chain ethics and environmental care.

Current CSR models do not propagate philanthropy but integrate it with the overall corporate strategy and culture. Good CSR practices spread goodwill, thereby enhancing the company's reputation and facilitating a stable social environment, conducive to investment and trade. Contemporary thinking therefore promotes CSR as a sound business strategy. It is the Center's belief that Corporate Social Responsibility (CSR) is to be structured as part of the business model, and regarded as fundamental to strategy.

Keeping these developments in mind, the 'Centre for Social Responsibility' encourages best practices and innovations of Indian corporates in fulfilling their responsibilities towards diverse stakeholders. In this process, it also aims to sensitize the corporates to their responsibilities as good citizens of a developing world. Increasingly organisations are recognizing the importance of integrating economic, environmental and social factors in business strategy.

Invitation

The Centre for Social Responsibility (CSR) supported by Institute of Directors (IOD), Centre for Corporate Governance (CFCG) and the "World Council For Corporate Governance" (WCFCG), UK have great pleasure in inviting applications for **The Golden Peacock Award for Corporate Social Responsibility .** The Award Scheme for Corporate Social Responsibility has been instituted to encourage initiatives in Corporate Social Responsibility in India, including :

    *   Public undertakings/Private undertaking - Manufacturing /Service Sector
    *   Government/Municipal Departments
    *   NGOs

The Golden Peacock Award for Corporate Social Responsibility is to stimulate and help organisations to rapidly accelerate the pace of stake-holder oriented improvement process. It is a powerful self-assessment process and a way to build an organisations' brand equity on 'Corporate Social Responsibility'. The preparation for the award helps to inspire and align the entire work force and management functions to this end. The knowledge gained by the organisation in describing and self-assessing it's operations would lead to IMPROVED organisational performance in this field.

Objective

To assess the extent of :

       *   integration of CSR concerns with corporate functioning;
       *   responsiveness to the needs of different stakeholders; and
       *   development of innovative partnership models to fulfil social responsibilities.

The Golden Peacock Award for Corporate Social Responsibility, is awarded annually. The Golden Peacock Award for Corporate Social Responsibility would be adjudged separately, under categories of large and small / medium enterprises (SMEs) under Public, Private, Govt./Municipal and NGO Sectors (Subject to Jury's decision):

Eligible Categories

1. Public Sector Units (PSUs) - Both in Manufacturing and Service Sector
2. Private Sector organisations - Both in Manufacturing and Service Sector
3. Government/Municipal Organisations, Undertakings & Public utility Services.
4. NGOs

Organizations or parts of organisations (self accounting profit centres) in the private and public sector operating in India may participate in the above award scheme.

The decisive factor for eligibility is that the operations of the applicant must adequately correspond to the Award criteria, which can be verified at the time of evaluation.

The operations of the applicant must be carried out independently, meaning that the scope of activities, responsibilities, authorities, results, etc. are clearly defined. This must be documented, for example, in the annual report, organisation plan or equivalent and project reports.

Rules & Regulations

* The Awards Committee reserves the right to alter the Award Scheme.

* The Awards Committee reserves the right to award more than one trophy each year in each category and also to withhold awards if the required standards are not met.

* The Awards Committee accepts no liability for any loss resulting from the disclosure of information concerning an entry, though all reasonable precautions will be taken to maintain secrecy.

* The Awards Committee cannot undertake to return documents or supplementary material submitted with an entry.

* Selected Award winners may be invited to make a brief presentation in any ensuing International / National Conference on Social Responsibility / Corporate Governance, to share their experiences.

* The awards secretariat processes the entries for consideration by the team of assessors, who go through initial screening, team assessment and final review by an eminent Jury.

* The decision of the Awards Committee, on the recommendations of the Panel of Judges is final and no appeal or correspondence will be entertained.

Non-Disclosure & Confidentiality

Names of applicants, commentary and scoring information developed during the review of applications are regarded as proprietary by the Awards Committee and are kept confidential. Such information is available only to those individuals directly involved in the assessment and administrative process.

The Awards Committee will take all reasonable action to ensure that applications and information therein are treated in strict confidence. However, in no way can the awards committee be held responsible for any loss of confidentiality to a third party. Moreover, awards committee cannot be held liable for any damage (to goods, or persons, financial loss or consequential) incurred through the breach of confidentiality or otherwise by the applicants or any third party.

Award Categories

The awards are divided into the following categories, based on the annual turnover of the company.

* Medium and Small enterprises - turnover less then Rs. 300 crore per annum.

* Large enterprises - turnover above or equal to Rs. 300 crore per annum.

Application Assessment fee

* Large enterprises Rs. 24,500/-

* Medium and small enterprises - Rs. 19,500/-

* NGOs Rs. 12,000/-

The fee should accompany the application, in the form of demand draft/cheque in favour of 'Institute of Directors', payable at New Delhi.

Application

The Application along with the application fee should be submitted in duplicate neatly typed (minimum font size 10 pt.) only on one side of A-4 size paper in English, covering the following:

1. Table of contents

2. Basic Information   Annexure 1

3. General Information   Item 1 (as per annexure 2 enclosed)

4. Business Overview   A brief summary, providing outline of the applicant's Business. Guidelines for business overview are attached (as per annexure 3)

5. Self-Appraisal Report
   a) This report will be based on GPACSR Guidelines and criteria, (as per annexure-4 attached). The guidelines consist of a self-assessment questionnaire, which when answered, duly supported by the objective evidence, would help in appreciating the extent of excellence achieved by the applicant.
   b) Support material-Support material may have been derived from self-assessment of the organisation's activities. This information must be closely aligned with the Award assessment criterias. The criterias are carefully and deliberately phrased in non-prescriptive terms, to allow you the freedom to present self-assessment information which is relevant to your specific situation.

6. Annual Reports   A copy of the latest Annual Report of the organisation shall form part of the support material.

ALL ENTRIES SHOULD BE ADDRESSED TO :

The Director General, GP Awards Secretariat, M-64, Greater Kailash - II, New Delhi - 110 048.
Phone : 91-11- 41636717, 91-11-41636294, 41636716
Mobile : 9811135151 Fax : 91-11-29217475, 41636292 E-mail : iod@hathway.com

APPLICATION & ANNEXURES

Application form -- GPACSR

(you may photocopy this form or reproduce it on a word processor)

GPACSR

Name of Applicant Organisation ....

Address ....

....

Name of   contact person ....

Designation ....

Telephone (Office)..................................Residence).............................(Mobile)..................

Fax .... E-mail ....

Contact Address *(if different from above)* ....

....

Name of Highest Ranking Official ....

Position ....

Telephone (Office)..............................(Residence)..............................(Mobile).................

Fax .... E-mail ....

1. Location of principal sites ....

2. Total number of employees ....

3. Type of organisation

    PSU   ☐   Private Enterprise   ☐

    Government/Municipal Organisations   ☐   NGOs   ☐

4. Large (Turnover equal or More than Rs.300 crore per year)   ☐

    Small and medium enterprises SME's (Turnover Less than Rs. 300 crore per year)   ☐

Bank Draft/cheque in favour of 'Institute of Directors' payable at New Delhi is enclosed towards application fee

    Bank... Draft No................................Dated..........................

I agree, on behalf of my organisation, to abide by the rules of The 'Golden Peacock Award for Corporate Social Responsibility' competition and accept that the decisions of the committee of judges are final. I confirm that my organisation is eligible to take part in this competition and that all information in this application and accompanying application documents are correct.

Date :   (Authorised Signatory)

Encl. :   1. Bank Draft
          2. Self Appraisal Report (as per annexure 4)":
               in duplicate, alongwith their appendices and enclosures.
          Annexure 2 - General Information
          Annexure 3 - Business Overview
          Annexure 4 - Questionnaire for Self-assessment.

General Information

1. **Workforce structure**

   * Number of Full-time employees ☐

   * Number of contractural employees for steady-state operations ☐

   * Percentage of female employees ☐

   * Percentage of non-technical/managerial staff ☐

   * Percentage of technical/managerial staff ☐

   * Percentage of professionals/executives ☐

   * Gender representation among graduate recruits, professional employees, and senior management (%) ☐

   * Gender representation on Board of Directors (%) ☐

2. What is the vision of the organization?

3. How does the vision integrate CSR issues?

4. Please state the key stakeholders (e.g. employees, customers, suppliers, government, community, etc.) of the company, apart from the shareholders.

5. Does the company have a separate department/cell for CSR initiatives: ☐ Yes ☐ No

6. Annual turnover of the company (in rupees) (Kindly attach the latest Annual Report.)

7. Does the company produce an annual sustainability/CSR report? (Attach last copy)

8. Has a public interest litigation been lodged against the company, or has there been any agitation by the local community against the company's practices during the last 2 years?

9. Are any winding up or liquidation proceedings pending?

10. Is the company registered with the Board for Industrial and Financial Reconstruction?

11. Has the company filed its annual return with the Registrar of Companies and tax authorities regularly and complied with all the statutory provisions of the Companies Act? Has a prosecution been undertaken against the company by any authority during the last 2 years?

12. Has any direction against the company been issued, and/or has the company been convicted and/or punished for any offence, and/or have its directors been prosecuted by any authority?

The Business Overview

The Business Overview is an outline of the applicant's business, addressing what is most important to the business, key influences on how the business operates, and where the business is headed. The Business Overview is intended to help Examiners understand what is relevant and important to the applicant's business.

The Business Overview is of critical importance to the applicant, because:

a) It is the most appropriate starting point for writing and reviewing the application, helping to ensure focus on key business issues and consistency in responses, especially in reporting business results; and

b) It is used by the examiners and judges in all stages of application review, including the site visit, if any.

Guidelines for Preparing the Business Overview

1. Basic Description of the Company

the section should provide basic information on:

a) The nature of the applicant's business: products and services;

company size, location(s), and whether it is publicly or privately owned;

b) the applicant's

    i.   major markets (local, regional, national, or international)

    ii.   principal customer types (consumers, other businesses, government, etc.). (Note any special relationships, such as partnerships, with customers or customer groups.);

c) a profile of the applicant's employee base, including: number, types, educational level, bargaining units, and special safety and health requirements; and

d) major equipments, facilities, and technologies used.

2. Critical Business Information

Some key information, critical to the business, is listed below :-

a)   Attributes of utmost importance to targeted customer

b)   Types and number of suppliers of goods & services

c)   Types and number of other partners in business such as dealers and agents.

d)   Specific information related to strategic partnership with key suppliers/trade partners

e)   Critical success factors that the organisation has identified as competitive factors

f)   Other information that is important to the organisation, such as, company's new business, new business alliances, development/introduction of new technologies and changes in strategies.

CORPORATE SOCIAL RESPONSIBILITY

QUESTIONNAIRE FOR SELF - ASSESSMENT

The information provided in this self-assessment questionnaire will be used to screen and select awardees. Please provide information for all the sections specified, along with relevant supporting documents. It will not be possible to evaluate incomplete applications.

This application seeks to evaluate the trends in CSR (corporate social responsibility) and emphasizes a multi-stakeholder approach. The questionnaire broadly focusses on the business and developmental initiatives of the organisation. Given the emergence of CSR as a significant and competitive tool for successful businesses worldwide, and considering it as an integral part of overall business strategy, this questionnaire aims to assess corporate reponsibilities towards various stakeholders, the ethical issues and practices related to the market-place, the workplace, the environment, governance, and community/society form the key parameters of CSR. This questionnaire is designed to analyse the effectiveness of the implementation and monitoring mechanisms of the systems installed by the organization for implementing CSR.

All information given in this annexure will be evaluated. The weightage given to each section is indicated next to the section numbers. Please indicate the section and question reference on the response. Attach supporting documents to substantiate details, where ever necessary.

Note:
Kindly tick the appropriate choice of 'Yes' or 'No', wherever asked for.
Please provide a brief write-up, preferably not exceeding 200 words, wherever details are requested.

SECTION I (5%)	BUSINESS OVERVIEW AND GENERAL INFORMATION (5%)

Already covered at Annexures 1 and 2

SECTION II (10%)	MARKET PLACE

1. What are the products/services of the company?

2. Give the unique selling features of the products/services, highlighting the following points.

   A. The innovative initiatives taken by the company for enhanced quality with regard to the following, during the last 2 years:

      • Minimizing environmental impacts arising out of the use of its products/services (life-cycle analysis)

      • Ensuring safety during the use or storage of the product

      • Ensuring health issues

      • Facilitating after-sale services

      • any other

   B. Is there any cause-related marketing of products/services? highlighting of the environmental-friendliness of the products/services, or the social causes related to the use of the product? ☐ Yes ☐ No

3. Has the company during the last 2 years conducted a feedback survey to gauge public perception / customer satisfaction of its products / services/business operations, with a view to assess the social and environmental impacts of its activities? ☐ Yes ☐ No

4. Describe (in not more than five sentences) the company's management system that addresses customer redressals/grievances.

5. Has the company faced any product-or service-related controversy in last 2 years? ☐ Yes ☐ No

   If yes, provide details on the following.

   - Gravity of the situation
   - Frequency

6. Has the company been called upon to defend any of its advertising campaigns during last 2 years? ☐ Yes ☐ No

7. Does the company ensure fair practices/ethics in its supply chain? ☐ Yes ☐ No

   If yes, please provide details on the following.

   - Supplier selection criteria

   - Assessment/monitoring

   - Training

8. Have there been any negative impacts on the local community/society/ environment as a result of the company's operations during the last 2 years? ☐ Yes ☐ No

SECTION III (15%)   **CORPORATE GOVERNANCE POLICIES**

A. Corporate Social Responsibility Policies

1. Does the company have a CSR policy ☐ Yes ☐ No

2. Does the company have a policy on any of the following? (Please tick as many options as relevant.)

☐ HIV/AIDS	☐ Child labour
☐ Fair labour practices	☐ Sexual harassment at the workplace
☐ Employment of the disabled	☐ Business ethics
☐ Health and safety	☐ Environment
☐ Quality	☐ Equal opportunities and non-discrimination with regard to
☐ Sports Promotion	gender, political or other opinions, social origin, or religion
☐ Any other (please specify)	☐ Promotion of performing visual arts

   Please attach a copy of the above CSR policy statements of the company.

3. What active steps are taken to increase awareness on company policies among employees?

4. If your company is an equal-opportunity organization, please state the steps taken at all levels (shop floor, production site, and corporate office) to ensure an environment conducive to female employees.

5. Have any special measures been taken to improve gender representation in the organization, particularly among the professional and technical staff?

6. What are the indicators used in monitoring the implementation of policies?

B. Governance and legal issues

1. Are issues like transparency/disclosure/anti-corruption integral to the fulfilment of the company's corporate social responsibilities?

   ☐ Yes   ☐ No   ☐ Cannot say

2. What is the size of the board of directors, and how many of those are independent non-executive directors.

3. Has the company been involved in litigation involving breach of corporate law in the past two years?

   ☐ Yes   ☐ No

4. Have fines/penalties been imposed on the company for illegal activities in the past two years?

   ☐ Yes   ☐ No

5. Have any managers been convicted of illegal activities in the past two years?

   ☐ Yes   ☐ No

C. Employee welfare / human resource practices: training and development

1. Does the company have clear employee guidelines concerning recruitment, termination, career advancement, performance appraisal, professional/employee ethics, etc.? Briefly mention the guidelines.

2. What is the employee turnover rate (the proportion of employees leaving employment before completion of contracted period)?

3. Does the company have an exit process, such as an exit interview?   ☐ Yes ☐ No

4. What are the retirement benefits given to retired employees and their families?

5. What are the three leading reasons that employees have given over the past two years for leaving the company?

6. What are the motivational incentives provided by the company to its employees (based on performance appraisals) so as to retain good talent within the company?

7. Does the company offer scholarships to deserving children of employees? Give details.

8. Does the company have a scheme to offer scholarships to other bright students on merit, for higher education and research?

9. What are the mechanisms installed to identify training needs of the employees?

10. What kind of employee training is imparted? (Tick relevant options.)
    ☐ Skill/performance enhancement
    ☐ Career development
    ☐ Stress management
    ☐ Work culture/ethics
    ☐ Any other (please specify)

11. Is there a self-development module for employees?   ☐ Yes ☐ No

12. Does the company conduct any surveys annually regarding employee satisfaction and/or their perceptions on the work culture or the ethical/behavioural practices in the workplace?   ☐ Yes ☐ No

13. Are effective steps taken to provide good quality of work life, environment, safety/security, and general well-being of the employees? State some key initiatives of last 2 years, if any.   ☐ Yes ☐ No

14. Is your organisation certified for ISO 14001?

D. Labour Relations / Health and Safety Measures

1. Has the company faced any labour disputes (strikes, dharnas, lockouts, etc.) in the last two year?

   ☐ Yes ☐ No

   If yes, what are the number of workdays lost in last 2 years?

2. Has the company been subject to any major legal disputes or controversies concerning anti-union practices during the last two years? ☐ Yes ☐ No

3. Does the company report on labour practices? ☐ Yes ☐ No

4. What are the steps taken to monitor the implementation of fair labour practices?

5. What is the type of healthcare system available to the employees?

6. Is on-site nutritional, health, and stress disorder counselling carried out? ☐ Yes ☐ No

7. Are any health seminars organized for the employees? ☐ Yes ☐ No

8. What employee welfare programmes are organized by the company? Please provide a brief outline of the welfare programmes.

9. What mechanisms are in place for ensuring occupational safety for employees/workers at the workplace?

10. Is your organisation certified for OSHAS 18001? ☐ Yes ☐ No

SECTION IV (20%)   SOCIAL AND COMMUNITY INITIATIVES

1. What is the mechanism adopted to assess societal requirements and identify community needs? Please provide a brief outline of this mechanism. Indicate if there is an established trust/foundation/NGO set up by the company to implement social activities.

2. What are the key positive impacts provided by the company, which benefit the community (e.g. employment for the disabled/poor, education health care, water supply, social infrastructure, environmental protection, etc.)?

3. What strategies has the company adopted to undertake developmental activities for the marginalized/ underprivileged/poor communities?
   - Philanthropic initiatives/donations
   - Corporate community investments/socially responsible investments
   - Public-private partnerships
   - Any other

4. What is the mode of dialogue (formal/informal) established between the stakeholders such as local NGOs, local governments, panchayats, and local communities? How often are such consultations held?

5. What percentage of annual profits is allocated as funds for community development works?

6. What are the kinds of partnerships that are created with civil society/ NGOs for social development? Indicate the sectors.
   - ☐ Healthcare
   - ☐ Education, literacy promotion
   - ☐ Improving rural infrastructure
   - ☐ Rural/community development: welfare programmes, economic empowerment of women, income generating programmes, child welfare
   - ☐ Community relations: involving employees in community development, providing social amenities, sub-contracting to community groups, micro-financing, credit assistance
   - ☐ Any other

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Please attach a profile of your major social activities/projects/programmes, during the last 2 years highlighting the following.

- Partners in the project (e.g., local NGOs, clubs or associations, local government, etc.)
- Impacts on the beneficiaries (quantify, if possible)

7. Does the company encourage employees giving/volunteering and/or direct involvement in the community by way of any of the following?

- Imparting skills to local community
- Blood Donation
- Secondments (Indicate the number of employees participating)
- Time-off for employees (number of man-months volunteered)

8. Are there any incentives provided to employees for volunteering for social projects (e.g. accounting in the performance appraisals, certificates, etc.)? ☐ Yes ☐ No

9. Does the company allow sharing of its resources (e.g. physical infrastructure, equipment, etc.) for the advantage of underprivileged/ poor communities? ☐ Yes ☐ No

10. How are social projects monitored and reported?

SECTION V (20%)   **CSR MANAGEMENT PRACTICES**

PART-A

1. *CSR Approach*
    a. The impact of your business on society
    b. Systems to implement policies, including business ethics
    c. Training/awareness
    d. Key CSR issues for the company - and progress made in addressing these
    e. Relationship to environmental/sustainable development policy

2. *Principles*
    a. How far along the supply chain does the responsibility of your company extend?.
    b. How do you distinguish CSR from corporate philanthropy, patronage, sponsorship and donations?
    c. What is your distinctive corporate contribution to alleviating the poverty/sustainable livelihood problem?
    d. How business objectives and process are checked in the organization for alignment with values.

3. *Organization Policy*
    Do you have an organizational policy in the following areas? (If so, enclose a copy of each).
    a. Corporate Governance
    b. Environment
    c. Occupational Health & Safety

4. *VISION*
    A statement of the company's long term goals and aspirations.
    The company has a written vision?
    ☐ Yes, we have a vision approved by the board
    ☐ It is promulgated throughout the company
    ☐ It is available to the public
    ☐ The vision was prepared in consultation with stakeholders
    ☐ There is a process of reviewing the vision

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5. *COMMITMENT*

    A formal expression of a company's intentions in the area of CSR

    ☐   There is a board minute recording the company's commitment to Corporate Social responsibility (CSR)

    ☐   There is a board member with specific responsibility for CSR policy

    Name:..

    Title:...   .

    ☐   Each director has responsibilities for implementing the CSR policy

    ☐   CSR performance is included on the Board/committee agenda

    ☐   There is a strategy for implementing CSR

6. *VALUES*

    The fundamental principles to which a company declares adherence

    ☐   Corporate values have been approved by the Board

    ☐   The values are defined and explained

    ☐   The values were formulated in consultation with stakeholders

    ☐   The values have been communicated to employees

    ☐   The values have been communicated to the public

7. *VALUES IMPLEMENTATION*

    The processes for ensuring adherence to corporate values

    ☐   There is a code of conduct

    ☐   The values are included as part of employee training

    ☐   The values are included in the reward process

    ☐   The business objectives and processes are checked for alignment with values

8. *STAKEHOLDER ISSUES*

    Those matters which stakeholders believe a company influences

    ☐   The company has identified its stakeholders groups

    ☐   The company has determined the nature of its relationship with the stakeholder groups

    ☐   The issues relevant to the company and its stakeholder groups have been identified

    ☐   The issues have been modified/confirmed through dialogue with it's stakeholder groups

9. *IMPACT ASSESSMENT*

    Assessment of the direct and indirect consequences of a company's activities. The company has assessed the social and ethical impacts of it's:

    Products/Services

    ☐   Past

    ☐   Present

    ☐   Planned

    Business operations

    ☐   Past

    ☐   Present

    ☐   Planned

10. *FORMULATE POLICY*

CSR policy is the set of principles which inform and guide the implementation of a corporate social responsibility strategy in a company

The company has formulated a CSR policy

☐ Yes

☐ The policy was formulated in consultation with stakeholder groups

☐ The policy has been communicated to employees

☐ The policy is published and available to the public

11. *PROGRAMMES/TARGETS*

The CSR program is the plan for implementing CSR policy, and will where applicable, include targets to achieve performance improvement

☐ A program for monitoring CSR policy has been established

☐ Targets and time scales for CSR improvement have been identified and set

☐ The program and targets cover all of the issues identified through stakeholder dialogue

12. *MONITOR/MEASURE PERFORMANCE*

The process and measures by which performance is assessed (against targets as applicable)

☐ Indicators have been identified which measure performance against targets. Enumerate the performance indicators

☐ Indicators have been defined in consultation with stakeholder groups

☐ The indicators have been checked to ensure that they are appropriate to the issues

☐ CSR performance is monitored by management and the Board

☐ Please indicate the level of achievement against each performance indicator in the previous 2 years

13. *REASSESSMENT*

The process by which a company continuously reviews and updates CSR strategy and actions taking account of stakeholders' changing expectations The company reviews and re-assesses:

☐ Vision, values, issues, programs and targets in the light of performance

☐ This review is undertaken with stakeholders

☐ The programs and targets are modified as a result of this process

14. *SUPPORT SYSTEMS*

The part of the overall management system which includes the organizational structure and processes for supporting the management, measurement and auditing of CSR performance

There is a system for:

☐ Collecting stakeholder input

☐ Analyzing

☐ There is a system for collecting and analyzing data relevant to CSR programs and targets

* In all the above cases attach details, where ever possible.

15. *S A 8000*

Does the organization comply with the ILO developed 'Social Accountability Standards for Management System (SA 8000), primarily dealing with the working conditions related to the quality of the life of a workman. (The standard relates to ethical sourcing, elimination of unfair human labour practices and improvement in working condition). Give Details

16. *Internal Audit*
    a. Does the company's internal audit system include audits of CSR programme and performance, including the system for collecting and analyzing data relevant to CSR programmes and targets.
    b. How does the company assess the social and ethical impacts of the direct and indirect consequences of company's activities.

17. *Implementation*
    a. How CSR has been embedded in companies' corporate governance, management objectives, incentives and reporting, so that it is a core characteristic of all operations?
    b. How on-the-ground partnerships between your company, central and local government, IGOs, NGOs, local communities and others formed and sustained.
    c. How are differing environmental, social and economic development aims balanced in particular decisions on the ground?
    d. How does your company contribute to skills, know-how and capacity building in the community around you.
    e. How do you get all company employees involved in and committed to CSR?

18. *Communicating and Reporting*
    a. What are the various means by which your company's approach to CSR and it's performance are conveyed to stakeholders. Use of specific guidelines such as GRI, EFQM, AA1000, UN Global Compact
    b. How the progress in implementing CSR programs and achievement of targets is communicated to.
        • Employees
        • The public
        • Other stakeholder groups
    c. Do you report all the above aspects in your annual report?
       (Enclose a copy of your last annual report)
    d. How do you review and report CSR in your company?
        • Incorporating a section on social actions in annual report.
        • Independent social accounting with report in its annual report.
        • Social impact of business operation in the annual report.

19. *Additional CSR Initiatives*
    a. Any other innovative Corporate Social Responsibility initiatives implemented by the organization, during the last 2 years which deserve recognition and reward.

PART- B

1.   Quality of Management
   a.   Employee retention rates.
   b.   Evidence of employee engagement in shaping management decision making.
   c.   Health and pension benefits provided to employees.

2.   Health and Safety
   a.   Reportable cases (including subcontracted workers).
   b.   Standard Injury, lost day, and absentee rates (including subcontracted workers).
   c.   Details of projects undertaken on reproductive and child health care.
   d.   Efforts made in promotion, motivating and participation for the population to adopt small family norms and family welfare.
   e.   Fire incidents during the last 2 years.

3.   Non-discrimination
   a.   Percentage of women in senior executive and senior and middle management ranks.
   b.   Discrimination-related litigation-frequency and type.
   c.   Mentoring programmes for minorities.
   d.   Channelizing resources and strength of women.
   e.   Organizing vocational training courses to become financially self – sufficient and bring equality at work place.
   f.   Projects and programmes in integrating women in economic activities.

4.   Training/Education
   a.   Ratio of training budget to annual operating costs.
   b.   Programmes to foster worker participation in decision making.
   c.   Number of training days spent by top 10% of the organisation.

5.   Child labour
   a.   Efforts made in eliminating child labour in your Area.
   b.   Participating in sensitization programmes, networking with NGOs and Govt. to work towards eliminating child labour in select sectors.

6.   Freedom of Association
   a.   Staff forums and grievance procedures in place—percentage of facilities and countries of operation.
   b.   Number and types of legal actions concerning anti-union practices.
   c.   Organisational responses to organising at non-union facilities or subsidiaries.

7.   Law and Human Rights
   a.   Demonstrated application of human rights.
   b.   Evidence of systematic monitoring of organisational practices.
   c.   Number and type of alleged violations, and organisational position and response.
   d.   Conformance with Company law board and SEBI/DCA regulations
   e.   Examples of incorporating security and human rights into risk assessment and facility planning.

8.   Suppliers
   a.   Performance of suppliers relative to social components of programmes.
   b.   Number and type of incidences of non-compliance with prevailing national or international standards.
   c.   Frequency of monitoring of contractors regarding labour conditions (e.g., child labour)

9. *Products and Services*
   a. Major social issues and impacts associated with the use of principal products and services. Include qualitative and quantitative estimates of such impacts, where applicable.
   b. Customer satisfaction levels.

10. *Welfare Schemes*
   a. Welfare schemes for employees family
   b. Welfare schemes for residing in the neighbourhood of plants/factories of the company.
   c. Any other welfare schemes e.g. support of Hospital, Education, and Institution etc.

11. *Substance Abuse Prevention* :
   a. Projects undertaken to address the problem of drug and alcohol among industry workers.
   b. Disaster management and Rehabilitation
   c. Do you have a site emergency plan ? (If yes, enclose a copy).
   d. Have you supported any rebuilding the lives and livelihood of the quake/communal ravaged communities.

SECTION VI (30%)   **SOCIAL PROJECT**

Describe briefly one standing innovative social project that has had a perceptible impact on the community and contributed to societal development, during the last 2 years. The project should demonstrate, the organization's leadership, sincerity and on-going commitment in incorporating ethical values, legal compliance, and respect for individuals, communities and the environment into the way they do the business. The project should have originated in on significantly enhanced by the operations of the organization.

In the context of the case study, please respond to the following.

1. Title of the case study
2. Objective(s) of the case study
3. Response to the needs of the community
4. Process of implementation (stakeholders, dialogue mechanism, etc.)
5. Elaborate description on the impact of the programme (quantify, if possible). Give difference made by the programme to the community.
6. Steps taken to ensure the sustainability of the programme, for the following :
   - Involvement of local community
   - Buy-in by stakeholders
   - Independent financial viability
   - Long-term vision for the programme
7. Risk analysis for the project's success
8. Please describe the potential for replication in another area, in terms of the following.
   - The extent to which the project can be replicated
   - Facilitating environment for replication   ■

CENTRE FOR SOCIAL RESPONSIBILITY (CSR)

Vision

To engage collectively with all stakeholders, so that economical development and globalisation works for all and not only for the rich particularly in the context of a deepening conflict between ecological decline and challenges to establish patterns of social behavior on the one hand, and economic expansion on the other.

Mission

To give special focus to issues of social and environmental responsibility and to create awareness amongst corporates, decision makers and movers & shakers towards triple bottom line approaches for enhancing economic value, social value and environmental value.

To explore and establish awareness so that the underprivileged and marginalised communities can access the system to seek assistance, they are entitled to.

Objectives

- To engage with corporates on issues of good corporate governance, such that those who are responsible for running companies perform good financial management, observe good ethics, and also realise that they have a role in looking after the environment and bridging economic and social gaps.

- To collaborate and cooperate with corporates, NGOs, Trusts and other organisations in the area of social field work for the underprivileged and poorer sections of society by way of establishing and running basic health services, hospitals, schools, women's empowerment missions and vocational training centres.

- To establish and run orphanages, institutions for society and community for widows, handicapped and disabled children and adults and victims of natural calamities, and also to provide aid to such institutions already running under any society or trust.

- To collaborate and cooperate with Hospitals and other organisations engaged in the area of Aids prevention and treatment and rehabilitation of AIDS inflicted patients.

- To promote the concept in Industry and civic life that we should stop discarding materials which have been wrestled from the Earth System at great costs, start looking at materials and products that are obselete as residues rather than waste, and recognise waste merely as residues our economy has not yet learnt to use efficiently.

- To promote the concept of rainwater harvesting in urban areas.

  To organise and participate in discussion forums, conferences, committees etc. with the objective that the policies framed and industrial strategies developed are not only short term oriented but are also in the long term public interest.

- To promote the ideology of "Spiritual Beliefs and Strengths" as an integral part of human life amongst corporates and society for raising the level of good ethical behaviour of corporates and citizenship, as well as good physical and intellectual health of the peoples.

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