

ANNEXURE

I) INTERVIEW SCHEDULE

II) BIBLIOGRAPHY

Dear Sir/Madam,

I am pursuing my doctoral study from The M.S University Of Baroda. The topic of my study is “A comparative study on CSR Practices, CSR implementation and corporate social disclosure practicesamong selected private and public entities” in Baroda District.

Your response will add resourceful insight and your valuable input will help in carrying out the study. I do assure you the, response will be strictly confidential and will be used for the academic research only and I will be pleased to submit you the findings of the research work.

I once again request for your co-operation and your valuable time.

Thanking You,

Nivedita Swain,

Vadodara

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PART – A

I. ORGANISATION DETAILS

- 1. Name of the organization. (not compulsory)**
- 2. Constitution: Public Ltd/Private Ltd.**
- 3. Sector: Engineering/Chemicals & Pharma/Petrochemicals/service/
Others specify.**
- 4. Telephone/Email/Website.**
- 5. Company Brochure: To be collected for company profile.**
- 6. Literature/Brochure on CSR: (to be attached).**
- 7. CSR policy: (kindly attach a copy of policy).**

II. THE TERM CSR WITHIN THE FIRM

(Please indicate the extent to which you agree or disagree with the following statement.)

- 8. “Our firm is a socially responsible firm”.**

Strongly Disagree 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ Strongly Agree

- 9. Please indicate which word(s) you would use to describe the term Corporate Social Responsibility:**

Self-explanatory ☐ Straight forward ☐

Unclear meaning ☐ Firm specific ☐

Complex ☐ Academic ☐

Other, please specify: _____

- 10. ‘The primary responsibility of business is to make a profit’?**

Not at all 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ A great extent

- 11. “The CSR activities of the firm are conducted on a regular basis”.**

Strongly Disagree 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ Strongly Agree

- 12. “Our CSR activities are closely related to our business strategy”.**

Strongly Disagree 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ Strongly Agree

13. Please indicate the extent to which each of the following factors motivated your firm to undertake CSR activities.Please circle **ONE** from **EACH** row

Scale: Not at all (1) To a great extent (5)

Motivation for CSR	Not at all	To some Extent	Neutral	Moderate Extent	To a Great Extent
Ethical and moral reasons					
To improve community relations					
To improve customer loyalty					
To improve employee motivation					
To improve relations with business partners/ investors					
To improve economic performance					
Pressure from third parties (e.g. clients or competitors)					
To meet the Expectations from the societal Stakeholders in the context of globalization					
To meet the social criteria and standards which are increasingly influencing the investment decision of individuals and institutions both as customers and investors.					
The increased concern about the damage caused by economic activity, social and physical environment					
To maintain transparency of business activities brought about by media and modern information and communication technology.					
To avail of public incentives (e.g. tax incentives)					
To preserve or improve the reputation of the company					
A commitment to reducing the company's impact on the environment					
To give something back to the community					
Other, please specify: _____					

Company's Policy on CSR (Basic Information)

14. The focus of CSR function in your company is: Environment/Social/Both
Any other: Please Specify

15. Since how many years the company is contributing its Social Responsibility.
Years: 3-5 6-8 9-11 12-15 15&above

16. CSR initiative in your company is attributed to

Particulars	Not at all	To some Extent	Neutral	Moderate Extent	Great Extent
Board of Directors					
Top Management					
Government rules and regulations					
Professional Staff					
Any other Specify:					

17. Factors which led to the need for investing into CSR activities.

Particulars	Not at all	To some Extent	Neutral	Moderate Extent	Great Extent
Concern for workers improvement					
Poverty & issues in health and education					
Company's willingness to support community problems					
Corporate Philanthropy and charity for concern					
Social Progress and Growth					
Improving company's image					
Global Market Pressures					
Any Other factors (Please Specify)					

18. According to you the basic goal of company in rendering its contribution to society is

Particulars	Not at all	To some extent	Neutral	Moderate extent	Great Extent
Enhancement of company profile and brand image					
Better alignment to corporate goals with those of society					
Compliance with statutory rules and global standards					
Enhancing Organizational health by handling social issues as well					
Leverage industrial profits through vital social sector contribution					
To positively impact the areas for social growth & development where industry exerts influences					
Build market image and impact globally					
Enhance shareholders, investors and consumers, customers value					
Any other: Please Specify: _____					

19. The approach of company with respect to its social responsibilities is

- i. Traditional Y/N if yes.....
- ii. Modern Y/N

Please give your opinion on the following .

Particulars	Strongly Agree	Agree	Neutral	Disagree	Strongly disagree
The company has a clear & strong guiding philosophy behind CSR					
Well devised management structure & Operations					
Professional Staff to handle CSR functions					
The company has a very good image in worker's community in nearby villages					
People rarely approach our functionaries to share their problems and difficulties					
Corporate & community relationships built over the years has strengthened					
There are several indirect advantages to the company due to CSR functions					

20. The focus of CSR in your company is

Particulars	Not at all	To some extent	Neutral	Moderate extent	To a great extent
Internal Dimension					
Human Resource Management					
Health and safety at work					
Employee welfare and respect					
Adaptation to change					
Management of environment impact and natural resources					
External Dimension					
Local Communities					
Social Issues and health Issues e.g De-addiction and HIV AIDS					
Human Rights					
Global Environment concerns					
Any other (Please Specify)					

21. Please indicate the extent to which you agree or disagree with the following statement

“Public/Private companies should pay significant attention to their social and environmental responsibilities”.

Strongly Disagree 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ Strongly Agree

CSR ACTIVITIES

22. Please state CSR activities of your organization relating to the following by putting[]

- | | |
|---------------------------------|--------------------------------------|
| a. Environmental Care [] | g. Community Involvement [] |
| b. Education [] | h. Employment and Employability[] |
| c. Healthcare [] | i. Rural Sports [] |
| d. Peripheral Development [] | j. Welfare [] |
| e. Housing [] | k. Any others (Pl. Specify): |
| f. Village Adoption [] | |

CSR Activities: Environment

23. To what extent is your firm involved in the following environmental activities on account of CSR? Please tick ONE from EACH row.

Particulars	Not at all	To some extent	Neutral	Moderate extent	To a great extent
Waste reduction					
Recycling					
Energy conservation					
Reduction of water consumption					
Reduction of pollution					
Development of Green Belt					
Solid waste management					
Rain Water Harvesting					
Awareness initiatives for protection of Environment					
Other, please specify: _____					

24. To what extent does your organisation consider environmental impact when developing new products (such as energy usage, recyclability, pollution)?

Not at all ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 To a great Extent

25. To what extent does your organisation use environmentally friendly (i.e. biodegradable/ recyclable) packaging/containers?

Not at all ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 To a great Extent

26. Please describe any CSR activities carried out by the firm that are oriented toward the ENVIRONMENT or any comments regarding the reach and focus areas on the questions above.

CSR ACTIVITIES – Community (Education, Health Care , Community Involvement, Peripheral Development, Other activities).

27. Does your company undertake base line survey or Need Assessment survey prior to interventions? Yes/No

If Yes, give details :

Agency Hired: NGO/Academics/Internally by company/Research Organisation/Any other (Please specify).....

28. To what extent is your firm involved in the following educational activities on account of CSR? Please tick ONE from EACH row.

Particulars	Not at all	To some extent	Neutral	Moderate extent	To a great extent
Support to Primary / Secondary Education					
Scholarships to students					
Infrastructure to Schools/Colleges					
Furniture, Play equipment etc. to schools / Aanganwadis					
Trainings to students					
Provide Hostel Buildings to students					
Special School buildings to Physically challenged Persons					
Other, please specify: _____					

29. To what extent is your firm involved in the following healthcare activities on account of CSR? Please tick ONE from EACH row.

Particulars	Not at all	To some extent	Neutral	Moderate extent	To a great extent
Health Checkup Camps					
Treated Water Supply					
Provide Hospital buildings					
Provide Blood Banks					
Mobile Clinics					
Support and Associate to Special Care hospitals					
Other, please specify: _____					

30. To what extent is your firm involved in the following peripheral development activities on account of CSR? Please tick ONE from EACH row.

Particulars	Not at all	To some extent	Neutral	Moderate extent	To a great extent
Roads					
Water Tanks					
Drainages					
Bridges					
Development of Surrounding areas					
Other, please specify: _____					

31. According to your knowledge on CSR in your company, Briefly describe the community related initiatives with reference to the following.

Very Poor ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 Excellent

Particulars	Not at all	To some extent	Neutral	Moderate Extent	To a great extent
Housing					
Health status health infrastructure					
Economic status / Employment opportunities					
Quality of life					
Gender development					
Any other (Please Specify)					

32. To what extent is your firm involved in the following community involvement activities on account of CSR? Please tick ONE from EACH row.

Particulars	Not at all	To some extent	Neutral	Moderate extent	To a great extent
Community Welfare Centers					
Multipurpose Halls					
Tech. improvements					
Placement linked trainings					
Any Socio-Cultural development in the surrounding areas of the company.					
Encourages sports among the nearby community people by sponsoring sports programmes/events.					
Any training programmes to the community people (men and women). E.g computer training, tailoring, making paper bags, etc.					
Other, please specify: _____					

33. How would you rate the impact of the community development programmes through CSR function on the following:

Particulars	Not at all	To some extent	Neutral	Moderate extent	To a great extent
Fulfilment of basic needs					
Provision of new and improved infrastructure					
Improvement in Health () / Education () /Environment () / Employment ()					
Solving community problems/psychosocial problems					
Creation of self sufficiency					
Provision of equipment and services for the needy					
Providing opportunities for the development & social progress					
Changing the environment in favour of individuals growth and development					
Improvement in overall Human development status					
Quality of life improvement					
Bringing change in social system for social development					
Providing socio-legal aid/ensuring gender justice					
Returns of socially responsible investing					
Direct business advantages					
Receiving corporate awards for CSR					
Any other (Please specify)					

34. Please describe any CSR activities carried out by your firm that are oriented toward COMMUNITY or any comments on the questions above.

35. Does your firm involved in charity/volunteer work?

Not at all ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 To a great Extent

IMPLEMENTATION

Perception on Implementation / Management of CSR

36. Who is responsible for CSR within your firm (job title)?

37. If there is a manager or department devoted to the management of CSR, please indicate the length of time that position/department is in place.

Less than 6 months ☐ 6 months – 2 years ☐

2 – 5 years ☐ More than 5 years ☐ No Manager/Department ☐

38. According to you what is the level of involvement of senior management in the CSR activities of the firm.

Not at all ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 A great deal

39. According to you does the company have adequate manpower to implement and oversee the CSR initiatives

Not at all ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 A great deal

40. According to you are there adequately trained staff who takes care of the implementation of CSR activities.

Not at all ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 A great deal

41. Please indicate the importance of senior management involvement in the CSR activities of the firm.

Not at all ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 A great deal

42. According to your opinion which of the following act as a barrier to furthering and implementing your firm's CSR activities.Please circle **ONE** from **EACH** row. Not at all (1) To A great extent (5)

Particulars	Not at all	To Some Extent	Neutral	To Moderate Extent	To a great Extent
Lack of time					
Lack of money					
Not related to the activities of the firm					
CSR is not an issue for a firm of this size					
Lack of human resources					
Other, please specify _____					

43. Is there any effort made to generate awareness among all levels of their staff about CSR activities and the integration of social processes with business processes.
Y/N

44. How did the company plan and implement its community programmes?

- i. Overview of the situations and general understanding. Y/N
- ii. Based on scientific Need assessment. Y/N
- iii. CSR compliance specified in CSR tool kit. Y/N
- iv. Any National / International Standards. Y/N
- v. Outsourced to the External Agencies/NGO's/Corporate Foundations.

45. According to you in which of the following areas did the company notice an indirect positive impact due to good implementation of CSR activities.

Not at all, to some extent, Neutral, Moderate extent, great extent

Particulars (Difficulties Encountered)	Not at all	To some extent	Neutral	Moderate Extent	Great Extent
Business Performance					
Corporate Image					
Recognition and awards in CSR					
Organisation Culture					
Worker's Productivity					
Worker's Morale					
Work Culture					
Employees Attitude					
Employees Morale					
Community Response					
Response from stakeholders, investors,government, customers.					
Market competition					
Any other (Please specify)					

46. Whether there is any framework your company use for implementation of the CSR initiatives.

Please specify if any:

47. Do you have enough resources and personnel to engage in CSR implementation in the long run?

48. List in the order of importance the major areas where the company has made a distinct impact.

i. ii.
iii. iv.

49. Has the company evaluated the impact. Y/N

50. Has the CSR activity impacted the bottom line of the company. Y/N

51. Which are the methodologies used by your organisation for evaluation.

Particulars (Difficulties Encountered)	Strongly Agree	Agree	Neutral	Disagree	Strongly disagree
Surveys during different stages of CSR implementation					
CSR information system and deployment					
Interactive sessions with the beneficiaries.					
Formation of specific task forces during the implementation stage					
Independent evaluation studies by the concerned authority					
Impact assessment studies					

DISCLOSURE PRACTICES:

52. What is your Understanding of reporting.

53. Does your company communicate its CSR activities? Yes /No (If no please skip the following question and go to the next question)

54. Does your company publish a CSR Report? Yes/No

- No, but we publish
- Environmental Report
- CSR Report integrated in annual report
- Others (please specify)

55. Are your reports assured by a third party?

56. Does your company have a code of conduct in place?

57. Does your company organise training sessions to enhance the understanding of disclosure practices.

58. Does your company produce a different CSR Report apart from the Annual Reports. Y/N

59. What according to you are the objectives of Disclosure and reporting

To gain legitimacy form the external stakeholders in society	
To demonstrate transparency and accountability dimensions of good corporate governance	
To enhance and sustain corporate credibility and reputation	
To create stakeholder value in the long run	
To inform the government policy makers and regulators of the active role of the modern corporation in CSR	
To promote brand equity and market share of the company	
To establish some linkage between corporate social and financial performance	
To participate in international business with globally compatible business practices focusing on stakeholder engagement	
To develop organizational capacity-knowledge, skills and attitudes for promoting socially responsive business practices	
To comply with global environmental and sustainability standards	

60. Does your organisation conduct social audits or any kind of third party verification.

61. What are the dissemination options you use for reporting. (Please Tick)

- Websites,
- Video films
- CD's
- Annual Reports
- Chairman's Statement at the AGM
- Booklets
- Other Publicity material
- Any other guidelines developed, please specify.

62. Do you follow inclusive CSR Reporting to satisfy stakeholders? (i.e Reporting the philanthropic activities like charity, donations, etc.

63. Do you report on social aspects of CSR? Y/N

64. Are you aware of the following external reporting standards in CSR. Kindly state yes in case your company has adopted any/planning to adopt.

External Standards	Not at all	To some Extent	Neutral	Moderate Extent	Great extent
Accountability AA1000 (Implementation: Y/N)					
Global Reporting Initiative					
Social Accountability 8000					

United Nations Global Compact					
OECD Guidelines for Multinational Enterprises					
Principle for Global Corporate Responsibility					
Crux Round Table					
Global Sullivan Principle					
Keidanren Charter for Good corporate Behaviour					
Asia Pacific (APEC) Business code of conduct					
Any other specify					

65. Have you obtained ISO 9000, 9001, 9002, 9003/ISO 14000/SA-8000/any other certification.

Y/N. If so when

66. Do you think regular monitoring, use of measurement standards and evaluation help the companies to evaluate the effectiveness.

COMPANY INFORMATION

67. How many staff members does your company employ?

☐ less than 10 ☐ 10-50 ☐ 51-250 ☐ 251-500 ☐ Greater than 500

68. What is the core business of your organisation?

69. How many years has your business been in operation?

Respondent Information

All information provided is strictly confidential.

70. What is your age (in years)? _____

71. Please indicate your gender

☐ Male ☐ Female

72. Please state the highest level of education you have successfully completed

73. What is your job title?

Thank you for your valuable time and your participation in this study is very much appreciated. If there are any additional comments that would be relevant to this study, please include them in the space provided below.

In order to receive the results from this study please include a business card. All individual details shall be held with the utmost confidentiality.

Thank You

(All individual details shall be held with the utmost confidentiality.)

IMPLEMENTATION OF CSR ACTIVITIES

1. Type of implementing Agency : HR Department/ Separate Foundation /Separate Trust/ NGO' / Government/ Separate CSR Department
2. Year of Establishment:

Respondent Information

1. What is your age (in years)? _____
2. Please indicate your gender
☐ Male ☐ Female
3. Please state the highest level of education you have successfully completed

4. What is your job title?

5. Year of experience.
6. Please Mention Y/N.

Sr. No	Particulars	Yes/No
1	How the project activities identified under CSR is implemented: Is it through Specialized trained professionals. If No, then. Please specify:	
2	Is there any adequate training and re-orientation given to the implementors.	
3	Is there any capacity building programmes organised to provide training to the implementors.	
4	While assigning CSR projects to the agencies, is there any effort made to verify the reliability and clean track record.	

7. Number of persons implementing the CSR activity/ programme
Full time part time volunteers
8. Are the persons made to work singly or in tandem with others.
9. Implementation plan. Please Tick.
Long term medium term short term
10. Are the implementation guidelines specified? Y/N
11. Does the long term CSR plan match with the long term business plan.
12. Is the CSR plan broken down into medium term and short term plans.

13. What does your CSR implementation plan specify:

Particulars	Please Tick
Requirements relating to baseline survey	
Activities to be undertaken	
Budgets allocated	
Time-lines prescribed	
Responsibilities and authorities defined	
Major results expected	

14. Specialized agencies for implementation includes:

Particulars	Please Tick
Community based organizations whether formal or informal	
Elected local bodies such as Panchayats	
Voluntary agencies (NGO's)/ social workers	
Institutes: Academic Organisations	
Trusts, Missions, etc.	
Government, Semi-government and autonomous organizations.	
Standing conference of public enterprises (SCOPE)	
Mahila Mandals, samitis and the like	
Contracted agencies for civil works	
Professional consultancy organizations etc.	

15. To what extent the following processes are being used during implementation of CSR activities.

Particulars	Not at all	To some extent	Neutral	Moderate Extent	Great Extent
Profiling and scoping of community needs and issues					
Stakeholder Need analysis					
Stakeholder involvement					
Information dissemination					
Policy communication					
Community interaction					

Revision of plans based on community response and feedback					
Consultative meets for mobilization of people's support					
Transparency and clarity in communication process					
Acceptance of intervention plans					
Close participation of People					
Involvement and onus of the project by people					
Policy implementation with people's initiative & management.					
Development of faith and positive attitude in people for program interventions.					

16. Do you set measurable CSR targets? Y/N
17. Do you engage employees to whom the CSR commitments apply. Y/N
18. Do you design and conduct training. Y/N
19. Do you establish mechanisms for addressing problematic behaviour. Y/N
20. Do you create external and internal communication plans. Y/N
21. Do you measure and assure performance to stakeholders. Y/N
22. Do you report on performance internally and externally. Y/N
23. Do you take steps to evaluate and improve performance. Y/N
24. Do you identify areas of improvement. Y/N
25. Do you engage stakeholders in the implementation process. Y/N
26. Do you cross check once the implementation cycle is completed. Y/N
27. In which of the following CSR stages the major difficulties were faced.

Not at all, to some extent, Neutral, Moderate extent, great extent

Particulars (Difficulties Encountered)	Not at all	To some extent	Neutral	Moderate Extent	Great Extent
CSR Planning					
CSR communication 1. Managers and staff 2. Community					
CSR Implementation					
CSR Monitoring					
CSR Evaluation					
CSR Reporting					
Benchmarking of CSR Practices					
Any other (Please specify)					

- 28. Based on the impacted area, which of the following and to what extent can be measured quantitatively and qualitatively.**

Not at all, to some extent, Neutral, Moderate extent, great extent

Particulars	Not at all	To some extent	Neutral	Moderate Extent	Great Extent
Health Status					
Education Status					
Economic status					
Community Facilities and public infrastructure					
Employment Status					
Skill development					
Any other (Please specify)					

- 29. Do you evaluate the implementation process to know about the status of impact. Y/N**

If Yes, then what are the timing of evaluation and what are the methodologies used by your organisation for evaluation.

- 30. Timings of Evaluation.**

Particulars	Strongly Agree	Agree	Neutral	Disagree	Strongly disagree
Introductory Stage					
Growth Stage					
Maturity Stage					
Saturation Stage					
Decline stage					

- 31. Can the impact be quantified and measured. Y/N**
- 32. Is the monitoring of the CSR projects a periodic activity of the company?**
- 33. Do the boards of the companies discuss the implementation of CSR activities in their Board meetings. Is there any separate chapter/paragraph in the Annual Report on the implementation of CSR activities/projects including the facts relating to physical and financial progress.**
- 34. According to your opinion, what are the Difficulties faced during implementation of CSR Activities at the company level.**