

Annex A:

Diagnostic of Corporate Social Responsibility (CSR) Activities Of Large Scale Mining Companies In The Philippines And The Respective Public Sector Roles That Strengthen CSR

Economic

Corporate Social Responsibility (CSR) Activities - Options		Business CSR Status R – resisting L – comp (legal) C – comp (corp) I – innovation		Public Sector Responsibilities and Policy														Public Sector Roles in Strengthening Corporate Social Responsibility (CSR) Provisional Options				
Category	Sub-Categories	Foreign Controlled Corporate Enterprises	Domestic Corporations and principal Contractors	Domestic SMEs	Fiscal and Monetary Policy	Trade & Foreign Investment	Fiscal and Monetary Policy	Private Sector Development and Industrial Policy	Infrastructure Development	Decentralisation and local government	Employment and Manpower	National Institutions and Reform	Health Care Services	Education and Youth Development	Poverty Reduction	Environmental Protection and Rehabilitation	Food security	Political Stability	Mandating	Facilitating	Partnering	Endorsing
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1. Monetary Flows to the Public Sector	<ul style="list-style-type: none"> Disclosure of corporate tax and royalty payments Disclosure of government subsidies (tax breaks, grants etc.) Disclosure of all payments to government officials and third-parties, including: <ul style="list-style-type: none"> signatory payments commission fees other major set-up costs advances against profits retainers and other consultancy fees corporate donations special discounts surcharges agents fees extra-contractual payments consultancy fees No seeking or accepting exemptions not contemplated in the statutory or regulatory framework relating to taxation and financial incentives 	L	L	R														Establish a legal or regulatory framework for the public disclosure of payments by companies.	Make publicly available a register of payments by companies, or an annual publication, with effective promotion of the register internationally to strengthen the confidence of investors and buyers	Participate in international discussions on private sector disclosure of public sector payments, with a view to identifying and implementing supportive public sector policies	Public statements from government (e.g. disseminated through investment promotion channels) of support for disclosure of payments by foreign investors
																			<p>Within the framework of securities law establish linkage between the disclosure of payments and the requirements for publicly listed companies on stock exchanges</p> <p>Establish legislation and regulatory controls setting out a framework for distribution of resource rents and taxes from national to sub-national and local levels, including, where appropriate a focus on the regions of production, for example:</p> <ul style="list-style-type: none"> a minimum percentage of company retained profits (e.g. 1%) to be paid into a local community development trust or endowment fund (or similar arrangement), with requirements for community-management and credible regulation a minimum percentage of government revenues from company profits (e.g. 20 – 50%) to be directed to local governments in the regions of operations <p>Augment the regulatory framework for statutory corporate taxation to balance the burden on business of complying with applicable tax laws with the need for tax authorities to have complete, timely and accurate information to enable the law to be enforced.</p>	Instigate a transparent system of tax concessions for companies actively promoting the diffusion of investment-friendly CSR activities to local contractors, such as SME development or technology transfer	Convene in-country multi-stakeholder forums to develop principles for the management and redistribution of tax revenues

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2. Employment and Human Resource Development	<ul style="list-style-type: none"> Level of wages consistent with industry average and livelihood needs of employees and their families Reasonable employee benefits: e.g. health and accident insurance and/or facilities access; pensions; meals or food allowance; housing; travel allowance; performance bonuses etc. Encouragement of human capital formation through employment opportunities, on-the-job training and life-long learning Within legal and international constraints, preference to employing local personnel and incorporation of such terms into procurement and supplier contracts Fair and adequate redundancy terms, including compensation management (For worker and labour rights see Labour Standards category) 		C															<p>Within company or labor law establish nationally appropriate minimum wage levels (or formula) and worker benefits, e.g. health insurance or facilities; pensions; redundancy pay</p>	<p>Within legal and international constraints, when negotiating investment, development or management agreements with investors, operators and contractors, require agreement on performance targets for local content (employment and supplier preferences).</p> <p>Prepare guidelines or 'models' for incorporating criteria and procedures for local employment content and skills development into competitive tendering and contract design</p> <p>Work with investors and buyers to build understanding of linkages between national employment policies and companies' own employment policies</p> <p>Build incentives for companies to go 'beyond compliance' on employment and skills transfer initiatives – e.g. through tax rewards, public policy statements in appropriate international forums, etc</p>	<p>Relevant government-sponsored educational and training institutions to partner with companies that have in-house training activities, with the aim of examining potential for synergies (whilst retaining and exploiting links to private sector 'philanthropic' education activities)</p>	<p>In cases of redundancy and retrenchment development of multi-stakeholder partnering agreements between business Human Resources Departments, trade unions, government manpower and employment agencies and civil society groups working on livelihood income and enterprise development</p> <p>Endorse, through award schemes, companies that show innovation in skills development and skills transfer, e.g. those who transform conventional training programs for upgrading semi-skilled workers to more formal certified apprenticeship training programs (with consideration of future market demands) and linked to nationally or internationally recognized standards of excellence</p> <p>Lead-by-example – incorporate criteria and procedures for local employment and skills development into competitive tendering and contract design on government contracts</p>		
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3. Procurement and Supply Chain Management	<ul style="list-style-type: none"> Development of databases on local business capabilities and business development and support/facilitation service requirements Within legal and international constraints, incorporation of a proportion of national content in procurement and supplier contracts Adoption of fair competition practices for purchase and service contracts, eg transparent competitive tendering and transparency in call-down contractor lists Contracts paid in accordance with agreed terms and legal requirements Facilitation of access to working capital and credit for local suppliers, contractors and licensees Provision of information on quality standards (technical, environmental etc.) for suppliers and contractors, and proactive training where this is in the business interest, eg for reliability or speed of suppliers Purchase of equipment for use by resource-poor suppliers, contractors and licensees, and provision of associated training in equipment operation, maintenance and safety, and consideration of arrangements for eventual transfer of ownership Horizontal strategic business alliances between domestic goods and service contractors and suppliers to reduce operating and investment costs and improve the efficient transfer of technology Promotion of social and environmental codes and standards through the total value chain, accompanied by training and other support and facilitation necessary to prevent standards becoming a barrier to market entry (see Social and Environment categories below) 																	<ul style="list-style-type: none"> Establish maximum payment periods in respect of invoices properly issued by small enterprises Establish mandatory framework for 'local content' in public procurement/tendering on contracts above a certain value, backed by penalties for abuse 	<p>Prepare guidelines or 'models' for incorporating criteria and procedures for local content and local business development into competitive tendering and contract design</p> <p>Establish simplified, accessible procedures for small claims for breach of contract</p> <p>Facilitate linkages between large and small companies (non-competitors) to build tendering capacity in smaller companies – e.g. through cross-sectoral training sessions, perhaps hosted by public sector agencies.</p> <p>Grant schemes or subsidies for places on ISO 9000/14000 training courses for SMEs</p> <p>Promote professionalization of purchasing and supply practice through advocacy for skills sharing/international exchanges etc with international agencies and investors</p> <p>Incorporation of references to environmental/social issues in investment promotion literature making clear government preference for 'pro-CSR' investment and opportunities for showcasing the performance of domestic contractors in meeting these standards.</p> <p>Brokerage of skills transfer through staff secondment from large-to-small business in areas of key enterprise development need – e.g. in relation to bookkeeping and financial accounting skills.</p>	<p>Promote uptake of ISO 9000 and ISO 14000 certification by funding/hosting training or skills centers that showcase companies already certified and promote business-to-business fertilization.</p> <p>Convene and contribute to local enterprise development partnerships designed to build local SME capacity to act as contractors and suppliers. Partnerships may involve:</p> <ul style="list-style-type: none"> companies – procurement departments, quality inspectors and contract managers local government - vocational training agencies, extension services and micro-credit agencies; NGOs with business management training capacity, market research and regulatory navigation expertise Banks and development agencies – working capital and business development expertise <p>Partner with local trade associations and business-development NGOs to build data-base and promote awareness among potential buyers and procuring businesses of local enterprise capacities in different regions and industrial sectors</p> <p>Work with exporters/trade associations and buyers in export markets to build early-warning awareness of new requirements (e.g. on environmental issues) likely to affect contracts for supply of goods and services in key sectors</p>	<p>Lead by example through public procurement practices that facilitate effective access for small/start-up enterprises – e.g. through review of tender requirements on accounts such as meeting certain environmental standards</p>

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4. Technology Transfer and Intellectual Property Rights	<ul style="list-style-type: none"> Operational and R&D activities compatible with public policies and plans for science and technology Practices that permit the transfer and rapid diffusion of technologies and know-how, with due regard to the protection of intellectual property rights Operational technology, products and services that address local market needs Employment of host country personnel in a science and technology capacity In granting licences for the use of intellectual property rights or when transferring technology, application of reasonable terms and conditions and in a manner that contributes to the long-term development prospects of the host country Development of links and collaborative research projects between local universities and other public research institutions, and local industry, industry associations and/or the R&D facilities of domestic and foreign corporations 		C															<p>Compulsory licensing of key products and technologies (within limits allowed by international law) that are in the public interest</p> <p>Legal protection for intellectual property rights</p> <p>Legal or regulatory framework for companies licensing or selling technologies to ensure that terms and conditions are reasonable and allow for on-going technology diffusion and adaptation to local market opportunities</p>	<p>Prepare guidelines for incorporating criteria and procedures for promoting technology and skills transfer into competitive tendering and contracts</p> <p>Facilitate investor access on fair terms to locally developed technologies and work to build local capacity to conclude mutually beneficial contracts that do not exploit the innovating party</p> <p>Fund or seek international donor support for development of negotiation skills for technology transfer/licensing and awareness of legal aspects</p> <p>Undertake 'mapping' exercises to aid potential investors identify commercial opportunities for technology transfer at national/local level, e.g. environmentally clean technologies</p>	<p>Seek business input in the development of public policy in key areas of industrial policy with the explicit intention of promoting 'leapfrogging' to new (e.g. environmentally cleaner) technologies</p> <p>Joint business/public sector (university) partnerships to fund scholarships in areas of key industrial importance to the nation with respect to technology transfer, and incorporate secondment of students to the sponsoring companies</p> <p>Joint industry-government development of guiding principles and clauses for technology licensing and purchase contracts</p> <p>Public sector support (e.g. through export credits with bi-lateral donors) to assist companies/investors in supplying critical 'hard' technologies necessary to develop domestic industries and markets</p> <p>Joint industry-business forums to agree public policy in relation to intellectual property rights (e.g. pharmaceuticals) and to negotiate preferential licenses to meet public policy goals such as poverty reduction</p>	<p>Political endorsement of company best practice – e.g. voluntary licensing or transfer of key technologies to local businesses, universities or health centers</p>

Environment

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5.Environment ally Safe Production, Products and Services	<ul style="list-style-type: none"> Development of policy and guidelines for promoting end-user health and safety during production and/or during use of products and services pursuant to domestic laws and regulations and international obligations, including monitoring system (e.g. customer satisfaction) and performance disclosure Adoption of product (environmental) life-cycle analysis into product and service research and development, e.g. ISO 14040-49, and ISO 14062 (R&D) Development of voluntary codes for product labelling, e.g. ISO 14021 Optimal use of operational wastes (processed and unprocessed) from internal and external sources and including both consumer and industrial wastes Optimal use of renewable energy sources Optimal use of energy-intensive materials Promotion of levels of awareness among customers and end-users of the environmental implications and risks of products and services Compliance with all relevant domestic legislation and international obligations pertaining to environmental hazards management, for production, transportation, import and export and disposal of materials and wastes Incorporation into risk assessments, analysis of environmental risks at each stage of the production process or each stage of a project life-cycle, including both isolated and cumulative risks, e.g. application of risk matrices Education and training of employees in environmental health and safety, including handling of hazardous materials and the prevention of environmental accidents and risk realisation Implementation and monitoring the effectiveness of environmental risk mitigation plans and preparation of risk/accident contingency plans, including contingency fund for uninsured environmental risks Consultation with potentially affected parties to enhance risk mitigation and contingency measures Disclosure in a timely manner information on environmental risks to key stakeholders Development of effective procedures for redressing injuries caused to customers, others persons or property from use of products or services Development of effective procedures for redressing damage to environmental resources 	L	C	C	C	L	L	R	L	L	I	C	L	R	L	L		<p>Legal framework for environmentally safe production, products and services:</p> <ul style="list-style-type: none"> incorporate environmental considerations into existing production, product and service quality standards, including 'polluter pays' principles require fair and quick remediation for redressing injuries caused to buyers, customers and others persons or property or other acts of non-compliance redress for damage to valued environmental resources, e.g. for affected communities legal protection for 'whistle blowers' <p>Improved enforcement of existing regulatory system for production, products and services:</p> <ul style="list-style-type: none"> capacity-building for health and safety and environmental regulators in preparing Terms of Reference for site visits, reviewing reports and monitoring effectiveness of environmental risk management and contingency plans more stringent remediation for production or product non-compliance and incidents, e.g. raise penalties for unauthorized release or disposal of pollutants or lack of contingency planning regulatory requirements based on use of 'best available techniques', or 'best practicable environmental option' to support continuous innovation in industry, e.g. in energy-intensive production, low pollutant emitting technologies and recycling regulatory product quality and labeling criteria in accordance with standards of potential buyers and investors Inspectors reports to include steps company is taking to move beyond compliance, and credit/endorse accordingly (aim is to link voluntary improvements in environmental risk management with legal framework) <p>Establishment of mandatory performance bonds in relation to environmental and/or social issues in key sectors or key developments, e.g. as a clause in Development Agreements</p> <p>Race to the top – adopt best corporate practice and/or best international codes into law, and create culture of ratcheting up environmental standards for production, products and services and related risks</p>	<p>Develop business outreach awareness programs on importance for international market access of incorporating certification for production and products, e.g. environmental management (ISO 14001); product labelling (e.g. ISO 14021); product life-cycle analysis (e.g. ISO 14040-49); product research and design (R&D), e.g. ISO 14062</p> <p>Establish national certification scheme, with subsidies for participating companies to contract auditors</p> <p>Conduct overseas diplomatic and trade missions promote exports of 'green goods' and services in markets with significant numbers of ethical buyers and consumers</p> <p>Provide tax incentives for that proportion of operating costs or profits re-invested in setting up environmental management systems</p> <p>Develop environmental management cooperation agreements with key industry players</p> <p>Convene standards setting fora to promote uptake of international environmental production, products and service standards:</p> <ul style="list-style-type: none"> domestic industry based consensus; and/or multi-stakeholder based forum <p>Establish a resource centre for representatives of employees (e.g. trade unions) and employer/trade associations to inform effective labour-company agreements on conditions</p>	<p>Convene government-industry-civil society forums to develop 'home grown' codes and labeling for key local products, coupled with development of marketing strategies for these goods in other markets, including exports</p> <p>Collaborate with research institutions and company R&D departments to explore both market-based and regulatory methods for incentivizing recycling and the development of recycling technologies, both in production and products & services</p> <p>Joint government-industry awareness raising among customers and end-users of the measures taken to reduce the environmental risks of production technologies, products and services with aim of building consumer confidence in the market place for goods produced domestically</p> <p>Joint government-business-civil society training programs involving company outreach and quality control managers, and civil society groups working with small-scale suppliers, with the aim of reducing the unintentional consequence of the environmental requirements of buyers acting as a barrier to market access for local SMEs</p> <p>Incorporate teaching of production, products and service environmental safety and related management systems into university and MBA curricula.</p>	<p>Promote 'green/ethical consumerism' at national level, e.g. publicity for locally produced goods and services that meet 'fair trade' or other relevant criteria</p> <p>Endorse companies (e.g. through awards schemes) with environmental production, product and service codes and practices that go beyond legal compliance</p>

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6. Environmental Impact Assessment and Management	<ul style="list-style-type: none"> Compliance with spirit (as well as letter) of law and regulations pertaining to the preparation of environmental (impact) assessment studies, including requirements for stakeholder engagement and impact and mitigation monitoring Independent preparation of impact assessment studies, free from 'conflicts of interest' e.g. 'streamed' contracts Environmental impacts of proposed operations and facilities assessed not only to secure environmental clearance permits, but also to secure the informal social license to operate of local communities Environmental impacts assessed over the life of the project or operation, including site/route/plant selection, construction and development, operations, and decommissioning and closure. Indirect environmental impacts assessed over the total value chain (both formal and informal) and including distribution networks Potentially significant environmental impacts systematically assess and mitigation/management plans prepared and implemented, for issues that include: <ul style="list-style-type: none"> protection of terrestrial, fresh-water and marine ecosystems and habitats protection of open spaces and wilderness protection and enhancement of bio-diversity sustainable use of renewable natural resources – surface and ground water, soils, forests reduction and safe disposal of non-hazardous and hazardous wastes energy conservation mitigation of adverse changes in air quality mitigation of noise and vibration mitigation of visual and landscape impacts Environmental impact assessment studies to include assessment of adverse social impacts and to identify socio-economic opportunities linked to the investment (see <i>Social Impact Assessment and Social Investment CSR categories below</i>) Integration of environmental, social and health impact assessments into single environmental assessment with aim of sharing logistics costs and better targeting mitigation and risk management measures (see also <i>Social Impact Assessment and Management CSR category below</i>) 	L	L	L	R	L	L												<p>Legal framework for environmental impact assessment (EIA):</p> <ul style="list-style-type: none"> formal (project-based) Environmental Impact Assessment procedures and requirements (with specific consideration of social, health, resettlement and indigenous peoples issues; community development opportunities; stakeholder engagement throughout life of investment; and integrated (environmental and social) impact assessment and management) harmonization of requirements for environmental clearance between ministries and sectors (e.g. mining and environment ministries) setting or upgrading environmental quality standards (emissions and ambient quality) instituting a civil liability legal framework for environmental pollution remediation for acts of legal non-compliance, and protection for 'whistle blowers' explicit integration of EIA with the development planning system (national and regional) and investment decision making <p>Improved enforcement of existing regulatory system for environmental impact assessment:</p> <ul style="list-style-type: none"> capacity building for environmental regulators in preparing Terms of Reference for impact studies, negotiating fair compensation, reviewing reports and monitoring effectiveness of mitigation/management plans more stringent remediation for non-compliance, e.g. raise penalties for lack of mitigation monitoring independent preparation of impact assessment studies, free from 'conflicts of interest' e.g. 'streamed' contracts or commercial or family links between EIA contractors and contracting company EIA reports and statements to include steps company is taking to move beyond compliance, and credit/endorse accordingly (aim is to link voluntary improvements in environmental management with legal framework) <p>Development of a regulatory framework and enforcement capability for identifying and resolving liabilities over environmental legacies (especially extractive industries, forestry, and pollution incidents during manufacturing), without outcomes ranging from 'zero pollution' to 'fit for purpose'</p>	<p>Provide official guidance to national, regional and district planning authorities to develop planning frameworks that manage the impact of business operations, their facilities, supply chains and distribution networks across the life time of the investment in relation to:</p> <ul style="list-style-type: none"> environmental protection and rehabilitation; and capturing social and economic benefits, e.g. skills development, local enterprise development, social and public infrastructure, employment opportunities, chronic poverty reduction etc. <p>Establishment of accessible, independent and effective courts, ombudsman, tribunal or arbitration services staffed by experts in environmental assessment regulations and related laws (e.g. compensation), and skilled in alternative dispute resolution (ADR)</p>	<p>Convene multi-stakeholder forums to cross-fertilize best practices in environmental impact assessment, and involving, inter alia: environmental and health regulators; leadership companies; the principal contractors in the country; and civil society groups</p> <p>For controversial projects, government environmental regulators partner with impact assessment teams (company and contractors/consultants) to:</p> <ul style="list-style-type: none"> ensure regulatory compliance promote mitigation acceptable to those affected facilitate early consultation with local government authorities review draft environmental management plans at a time when environmental considerations can still affect strategic design and investment decisions <p>Joint awareness raising campaigns with industry and trade associations on the potential cost savings in engineering and project/ production management arising from early consideration of environmental impact mitigation and technology improvements in front-end-design</p> <p>Joint research with companies and civil society groups to tailor international and corporate best practices in environmental (and social) impact assessment to the local conditions and public/community expectations</p>	<p>Endorse (e.g. through awards schemes) companies applying best practice environmental impact assessment standards, in particular: explicit consideration of social, health resettlement and indigenous peoples issues; community development opportunities; stakeholder engagement throughout life of investment; and integrated (environmental and social) impact assessment and management</p> <p>Government to lead-by-example and incorporate best practice environmental (and social) impact assessment and management requirements into relevant government contracts, competitive tendering procedures, Development, Management or Concession agreements, and new investment in state-owned enterprises</p>

Corporate Social Responsibility (CSR) Activities - <i>Options</i>		Business CSR Status R – resisting L – comp (legal) C – comp (corp) I – innovation	Public Sector Responsibilities and Policy												Public Sector Roles in Strengthening Corporate Social Responsibility (CSR) <i>Provisional Options</i>							
Category	Sub-Categories	Foreign Controlled Corporate Enterprises	Domestic Corporations and principal Contractors	Domestic SMEs	Fiscal and Monetary Policy	Trade & Foreign Investment	Fiscal and Monetary Policy	Private Sector Development and Industrial Policy	Infrastructure Development	Decentralisation and local government	Employment and Manpower	National Institutions and Reform	Health Care Services	Education and Youth Development	Poverty Reduction	Environmental Protection and Rehabilitation	Food security	Political Stability	Mandating laws, by-laws, regulations and penalties pertaining to the control of some aspect of business investment or operations	Facilitating incentives, non-binding guidance and codes, endorsements and deterrents, such as market stimulation, tax incentives, awareness raising, processes of stakeholder dialogue and publicity and praise (the public sector will not always be the lead agency in executing these activities)	Partnering combining public resources with those of business to leverage complementary resources, realise economies of scale and cross-fertilise best practices	Endorsing showing public political support for CSR performing companies and facilitating civil society organisations in the form of publicised praise or awards; involving leadership companies in the public policy arena; endorsing specific metrics, indicators, guidelines and standards; and 'leading by example' through public sector procurement practices

Social

Corporate Social Responsibility (CSR) Activities - Options		Business CSR Status P – residing L – comp (legal) C – comp (corp) I – innovation		Public Sector Responsibilities and Policy											Public Sector Roles in Strengthening Corporate Social Responsibility (CSR) Provisional Options <i>Menu</i>						
Category	Sub-Categories	Foreign Controlled Corporates/Enterprises	Domestic Corporations and principal Contractors	Domestic SMEs	Fiscal and Monetary Policy Trade & Foreign Investment	Fiscal and Monetary Policy	Private Sector Development and Industrial Policy	Infrastructure Development	Decentralisation and local government	Employment and Manpower	National Institutions and Reform	Health Care Services	Education and Youth Development	Poverty Reduction	Environmental Protection and Rehabilitation	Food security	Political Stability	Mandating laws, by-laws, regulations and penalties pertaining to the control of some aspect of business investment or operations	Facilitating incentives, non-binding guidance and codes, endorsements and deterrents, such as market stimulation, tax incentives, awareness raising, processes of stakeholder dialogue and publicity and praise (the public sector will not always be the lead agency in executing these activities)	Partnering combining public resources with those of business to leverage complementary resources, realise economies of scale and cross-fertilise best practices	Endorsing showing public political support for CSR performing companies and facilitating civil society organisations in the form of publicised praise or awards; involving leadership companies in the public policy arena; endorsing specific metrics, indicators, guidelines and standards; and 'leading by example' through public sector procurement practices
8. Health and Safety of Employees	<ul style="list-style-type: none"> Development of policies and guidelines for health and safety pursuant to the framework of domestic laws and regulations and international obligations (such as ILO 176), and that includes management and employee training, a monitoring system and performance/results disclosure, Effective management structure for promoting health and safety at all levels of the organisation Disclosure to employees and other relevant third-parties parties of occupational accidents and diseases and any associated risks Joint health and safety committees comprising management and workers Formal agreements with trade unions or other employee representatives covering health and safety Specific policies for HIV/AIDS and STDs and where applicable integration with government programmes Life-long training in health and safety standards, with particular emphasis on new employees, job transfer, hazardous jobs, and the introduction or modification of equipment and procedures 	L	L															<p>Minimum legal requirements on health and safety in the workplace, including, inter alia:</p> <ul style="list-style-type: none"> maximum permitted exposure levels of specific substances clear establishment of general duties on employers for provision of a safe working environment prohibition on employer 'contracting out' <p>Mandatory insurance for workers in the event of occupational injury, with effective anti-avoidance provisions (e.g. to deal with subcontracted labor)</p> <p>Mandatory disclosure requirements in respect of reportable incidents/injuries</p> <p>Rights of access to worker information on health records held about them</p> <p>Whistle-blower protection from recrimination for workers reporting health and safety breaches to regulators and/or others (e.g. NGOs)</p> <p>Effective access to remedies, including meaningful compensation for injured workers</p> <p>Effective legal underpinning for collective bargaining and freedom of association in respect of health and safety issues</p>	<p>Establish appropriate legal incentives for continuous improvement in workplace health and safety practice, e.g. mandatory business contributions to employers' compensation funds can be graduated in line with the number/frequency of reported incidents, so that 'best practice' companies are rewarded through lower premiums</p> <p>Build capacity among local doctors to identify key occupational diseases and hazards</p>	<p>Work in partnership with businesses and civil society based organizations – e.g. led through national medical research agencies - to establish workplace policies on HIV/AIDS that are integrated with public policy goals and public sector experience of 'best practice' on public health and disease prevention, taking account of local cultural norms</p> <p>Joint government-industry training programs in occupational health and safety, and health and safety risk assessment</p> <p>Business health monitoring equipment shared with health safety inspectorates and local hospitals with a view to facilitating attainment of public sector health goals and enhancing overall workforce productivity</p> <p>Leadership companies work with government and trade unions to build awareness and best practice in health and safety and associated management systems, including the design of training packs/resources for local SMEs</p>	<p>Political endorsement for legal action seeking redress for victims of industrial accidents</p> <p>Political endorsement/recognition for best performing companies: e.g. through an annual 'health and safety awareness' week endorsed by senior political figures</p>

Corporate Social Responsibility (CSR) Activities - Options		Business CSR Status R – resisting L – comp (legal) C – comp (corp) I – innovation	Public Sector Responsibilities and Policy													Public Sector Roles in Strengthening Corporate Social Responsibility (CSR) Provisional Options						
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																					laws, by-laws, regulations and penalties pertaining to the control of some aspect of business investment or operations	incentives, non-binding guidance and codes, endorsements and deterrents, such as market stimulation, tax incentives, awareness raising, processes of stakeholder dialogue and publicity and praise (the public sector will not always be the lead agency in executing these activities)

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10. Corruption and Bribery	<ul style="list-style-type: none"> Development of policies and guidelines on anti-corruption and bribery pursuant to the framework of domestic laws and regulations and international obligations, and that takes into account established public policies; and that includes management and employee training, a monitoring system and performance disclosure, Refrain from offering bribes or other undue advantage to public officials and regulators or the employees of business partners to obtain or retain business Refrain from yielding to demands or extortion Procurement/contracting free from facilitation payments Refrain from using sub-contracts, purchase orders or consulting agreements as a means of channelling payments to public officials or employees of business partners Maintain a list of agents employed in connection with the negotiation or execution of transactions with public bodies and state-owned enterprises Disclose the company policy on funding political parties or individual elected representatives or candidates for public office and party lobbying Full transparency in relation to payments to candidates for public office, e.g. disclosed and updated registry of payments Foster openness and dialogue with the public and government so as to promote awareness and co-operation in the fight against corruption Adopt financial and tax accounting and auditing practices that prevent the establishment of 'off-the-books' or secret accounts or the creation of documents that which do not properly and fairly record the transactions to which they relate (see also CSR category on Monetary Contributions to the Public Sector) 	L	R	R	R	L	R	R	L	R	R	L	R						<p>Establish minimum legal requirements to criminalize corrupt payments. Consider the boundaries of such legislation, and whether there is a case for covering payments between private sector actors, backed by whistle blower protection.</p> <p>Establish legislation and appropriate penalties on party and political finance, with particular reference to corporate contributions.</p> <p>Develop clear legislation on the proportion of revenues paid by businesses to central government that should be allocated to the local level</p> <p>Require mandatory disclosure of business payments to government/public sector officials</p>	<p>Establish clear corruption complaints mechanism with independent governance and a power of inquiry and referral to prosecutors (e.g. in the form of a Corruption Commission)</p> <p>Disseminate information regarding access to company-run hotlines for reporting instances of corruption</p> <p>Provide anti-corruption training for public officials, including, for example, the provisions of the OECD Convention on Bribery (Table B1), and incorporating international case studies from 'best practice' businesses (with aim of reducing the 'demand side' of bribery)</p> <p>Maintain publicly available information on duties of different public sector departments and their reporting/accountability lines.</p> <p>Provide clarity, e.g. public statements, on scope of discretionary powers held by authorities empowered to grant licences/award contracts and intervene with day to day business activities</p> <p>Establishment of a free and independent judiciary including transparent appointment processes for judges and training in key areas of law identified as relevant to bribery and corruption</p>	<p>Joint government-business-civil society forum to negotiate consensus on principles for anti-corruption, including identification and diagnosis of institutional weaknesses, i.e. 'hot spots', and</p> <p>With regard to extractive industries, develop multi-stakeholder dialogue to agree voluntary compensation frameworks for communities and individuals affected by extractive industry activities</p>	<p>Political endorsement of enforcement against corrupt officials, and whistle-blowing by individuals.</p> <p>Political endorsement of press freedom</p> <p>Political endorsement of cross-sectoral multi-stakeholder partnerships between business and civil society to combat corruption through greater transparency and trust.</p> <p>Lead by example –government departments maintain published registry of all payments to and from contractors working on government projects,</p> <p>In state owned enterprises, discourage employee reward and incentive schemes that facilitate dishonesty and mal practice by creating an unreasonable pressure to achieve targets</p>

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11. Human Rights	<ul style="list-style-type: none"> Development of policies and guidelines to deal with human right violations (and abetting) pursuant to the framework of domestic laws and regulations and international obligations, and that takes into account established public policies; and that includes management and employee training, a monitoring system and performance disclosure Company security policy and practices take into account the risks of complicity or abetting human rights violations and abuse (e.g. harassment, denial or freedom of assembly, arbitrary arrest and detention, hostage taking, disappearances, torture, extra-judicial killing) Where involuntary resettlement/displacement (forced relocation) is unavoidable, all relevant laws (e.g. for compensation) stringently applied and consideration given to international best practice for achieving full livelihood restoration Compliance with indigenous peoples' (legal) rights Respect for broader human rights of individuals in accordance with the United Nations Declaration of Human Rights, e.g. extent to which procurement practices and use of natural resources Procurement screening of suppliers for human rights compliance (see also CSR category: Labour Standards) 	R	R	L	R	R	R											<p>Constitutional recognition for and legal protection against human rights violations (harassment, denial or freedom of assembly, arbitrary arrest and detention, hostage taking, disappearances, torture, extra-judicial killing), and penalties for companies aiding and abetting or complicit in, human rights abuses by public sector agents/bodies</p> <p>Legal recognition for traditional land rights</p> <p>Whistle-blower protection legislation for employees reporting human rights violations</p> <p>Establishment of a constitutional court</p>	<p>Establishment or strengthening of a free and independent judiciary including transparent appointment processes for judges and training in key areas of law relevant to human rights</p> <p>Human rights training for members of the judiciary and other key public sector actors such as security forces</p> <p>Publicly available registers of court hearings and judgments relating to human rights violation cases</p> <p>Public rights of access to information and direct participation in decision-making connected to new developments and other investment decisions</p> <p>Clear public policy statements on operational arrangements in relation to provision of security around sensitive business facilities</p> <p>Inclusion of human rights education in national curricula</p> <p>Effective legal assistance for human rights cases, including through legal endorsement of appropriate charging structures for lawyers (e.g. on a 'no-win-no-fee' basis)</p> <p>Support for establishment of independent human rights commissions at national level, with a mandate sufficiently broad to allow consideration of private sector roles and responsibilities</p>	<p>Joint government-industry training and policy development on human rights issues involving key public sector personnel (e.g. security forces) and leadership businesses in potentially sensitive sectors, e.g. extractive industries</p> <p>Company/state co-funding for human rights education in school curricula</p>	<p>Political commitment to respond to relevant findings of national human rights commissions</p> <p>Clear political denouncement of human rights violations</p> <p>Promotion of the relevance of the Universal Declaration of Human Rights to 'all organs of society' including businesses</p> <p>Inclusion of 'star performers' in the private sector in nominations for human rights awards</p>

Corporate Social Responsibility (CSR) Activities - Options		Business CSR Status R – resisting L – comp (legal) C – comp (corp) I – innovator		Public Sector Responsibilities and Policy													Public Sector Roles in Strengthening Corporate Social Responsibility (CSR) Provisional Options				
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		12. Conflict and Violence	<ul style="list-style-type: none"> Development of policies and guidelines to deal with conflict that take into account established public policies, and that include management and employee training, a monitoring system and performance disclosure assessment of non-commercial risks of conflict and violence on operational performance assessment of risks that operational activities might fuel or trigger conflict and violence training for employees and contractors working in conflict zones (security and conflict prevention/management) good stakeholder and community engagement acting to prevent conflict and/or act as a 'social fence' for the operation partnerships with government agencies and civil society on community development projects to open channels of communication of value in preventing disputes escalating into, or fuelling, violence and conflict 		L															<p>A clear, accessible and equitable land rights framework, including provisions for mandatory consultation and adequate compensation for compulsory acquisition of land and accessible and independent dispute settlement</p>	<p>Clear 'conflict minimizing' guidelines and policies for security personnel working around sensitive business operations, including clear divisions of roles between state and company security forces</p> <p>Establishment of a free and independent judiciary including transparent appointment processes for judges and training in key areas of law identified as relevant to conflict prevention (e.g. land rights; freedom from workplace discrimination, etc)</p>
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14. Community and Stakeholder Engagement (non-commercial)	<ul style="list-style-type: none"> Development of policies and guidelines for community engagement and non-commercial stakeholders (community groups, NGOs, non-shareholding government authorities, universities etc) pursuant to the framework of domestic laws and regulations and international obligations and including management and employee training, monitoring system and performance disclosure Disclosure of information about project operations and potentially adverse environmental and social impacts sufficiently early in planning of each stage of new operations (conceptual design, feasibility studies, construction, operations and decommissioning) to allow engagement with stakeholders on weighing the trade-offs and contributing to design and impact mitigation measures Provision of meaningful information that stakeholders to make informed choices, i.e. information in readily understandable formats tailored to the needs of different stakeholder groups Provision of information that is accessible to those stakeholder most affected by business operations Identification and informing of all relevant stakeholders, with sufficient time (and where necessary facilitation) the interpretation of the information Continually engage with and 'track' stakeholder engagement, within emphasis on measuring company performance (i.e. stakeholder satisfaction) and 'bundling' of different activities that stakeholder would wish to address collectively, e.g. compensation negotiations, employment opportunities and mitigation of adverse socio-economic impacts Company to maintain oversight of the outcomes of stakeholder engagement undertaken in the name of the company by others, e.g. cases where engagement is undertaken by government (e.g. for asset loss compensation) or contractors (e.g. during Environmental Impact Assessment studies) Involvement of government agencies and legitimate community groups, NGOs etc. in engagement activities to build trust and mutual understanding Provision of accessible and safe mechanism for stakeholders to raise and resolve grievances with the company Special recognition of the need to secure informed consent on decisions affecting indigenous peoples and their domain areas Involvement of community, local government and NGOs in environmental and social monitoring, e.g. of ESIA-related management plans and on-going social management systems 	L	L																<p>Adopt best corporate practice and/or best international codes on aspects of stakeholder consultation, engagement and information disclosure into the following provisions:</p> <ul style="list-style-type: none"> granting of environmental permits for large projects or projects in environmentally sensitive locations (e.g. through use of EIA instruments) national poverty reduction planning and implementation sectoral reform programs regional development planning district development planning privatization programs large-scale or potentially controversial investment and development decisions <p>Harmonize standards for stakeholder engagement across different industries to streamline regulatory enforcement and avoid duplication</p> <p>Require informed consent of local government authorities (relevant village, district and regional levels):</p> <ul style="list-style-type: none"> prior to exploration or site investigation; and/or prior to reaching a decision on a development, management or concession agreement 	<p>Establish a clear property rights framework to reduce potential for disputes</p> <p>Provide access to information on consultants or individuals from civil society groups, to advise on locally appropriate stakeholder consultation processes and ways to maximize engagement</p> <p>Support development of professional associations seeking to enhance their capacity in stakeholder consultation and engagement</p> <p>Develop best practice guidance notes (either generalized for industry specific) aimed at EIA contractors to help them adjust to a greater emphasis on stakeholder engagement and consultation.</p> <p>Establishment of accessible, independent and effective courts, ombudsman, tribunal or arbitration services, staffed by experts in environmental and social performance regulations and related laws (e.g. compensation), and skilled in alternative dispute resolution (ADR) and consensus building</p>	<p>Joint development of 'best practice' guidelines on stakeholder engagement in environmental and social impact assessment</p> <p>Convene multi-stakeholder forums to cross-fertilize best practices in stakeholder engagement and consultation (either generalized guidance or industry-specific) involving: inter alia: environmental and health regulators; Ministries for Rural/Local Development and Employment; leadership companies; the principal contractors in the country; and civil society groups</p>	<p>Government to lead-by-example and incorporate best practice stakeholder engagement and consultation into relevant government contracts, competitive tendering procedures, Development, Management or Concession agreements, and new investment in state-owned enterprises</p>

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		15. Charitable Giving	<ul style="list-style-type: none"> Making of donations, grants and scholarships, either directly or through foundations and trust Provision of sponsorship for events and organisations Establishment of issue-specific philanthropic trusts and endowments Facilitation of employee giving, e.g. through company payroll Facilitation of employee volunteering either in or out of work time, including secondments Making in-kind gifts such as product, equipment, vehicles etc. Offering in-kind loans such as premises, equipment etc 		C																	
	C																			<p>Tax incentives for corporate donations, e.g. donations as tax deductions</p> <p>Enabling legislation or regulations to encourage corporate sponsorship of education and vocational training establishments, e.g. those specializing in skills critical to the development of a particular industrial sector</p> <p>Enabling legislation to protect companies that establish charitable trust funds or endowment funds from liabilities</p>	<p>Government-industry joint identification of strategic opportunities for employee volunteering and placement to assist government deliver public policy goals and public goods, e.g. local business development</p> <p>Joint funding schemes where government agrees to match corporate resources donated to selected charitable causes, e.g. industry related scholarships or research</p> <p>Government-industry placement trading, with aim of cross-fertilizing best practices and knowledge</p>	<p>Public praise and awards for companies or CEOs who have demonstrably contributed to charitable causes</p>

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16. Social investment	<ul style="list-style-type: none"> Implementation of community development projects (e.g. health clinic, school construction, water supply and sanitation, credit facilities etc.) Deployment of market research, distribution networks and retail channels to support community-based enterprises Provision of emergency assistance (e.g. for natural disasters) Increased use of cause-related marketing Development of employment policies that secure local labour supply, i.e. that favour local low-income communities Development of procurement practices that place local businesses on call-down lists, and provide appropriate levels of support to enable them to meet procurement quality standards Facilitating local access to working capital and vocational training for local businesses to secure supplier reliability Development and marketing of products and services for low-income consumers Pooling health care resources with local authorities to improve productivity of workforce (including HIV and STD management) Sharing capital expenditure costs of operational infrastructure with local authorities (power, water, sanitation, transport, telecommunications) Engaging principal contractors to act as delivery agents for social investment projects down the supply chain, e.g. through contracts and performance incentives 	C	L	I	L	L	L	L	L	L	C	C							<p>Mandate in law a minimum percentage of company retained profits (e.g. 1%) to be paid into a local community development trust or endowment fund (or similar arrangement), with requirements for community-management and credible regulation</p> <p>Mandate in law a minimum percentage of government revenues from company profits (e.g. 20 – 50%) to be directed to local governments in the regions of operations</p>	<p>Develop clear statements of policy on willingness to engage in various forms of public private partnership relevant to CSR – e.g. in relation to provision of infrastructure incidental to new developments</p> <p>Tax incentives for companies providing priority community infrastructure and clear statements of principles on respective roles and responsibilities.</p> <p>Clear public policy statements for different industrial sectors on expectations in relation to how investments will facilitate local enterprise development and the development of social infrastructure (aim is to define from the outset the boundaries between public and private sectors in contributing to public goods)</p> <p>Support and fund domestic research institutions that collaborate with the R&D departments of companies (either in country or overseas) to develop commercially viable products and services for low income consumers, with aim of developing a dynamic innovation culture in the host country that expands commercial opportunities for domestic or foreign investors</p>	<p>Convene and contribute to multi-stakeholder partnerships that 'roll-out' the operational infrastructure of business operations in alignment with the public sector strategic infrastructure plans of regional and district level government. Such partnerships can be built around any type of investment where permanent or temporary infrastructure (water supply, sanitation, telecommunications, transportation, and power generation and/or distribution, waste disposal, health facilities) is a feature of the development or operational phases. Partnerships may involve:</p> <ul style="list-style-type: none"> <i>companies</i> – engineering and design, procurement of contractors, project management, construction materials; <i>local government</i> – regulatory authorities, infrastructure development planning, public works departments <i>NGOs</i> - with expertise in appropriate infrastructure technology and design and <i>management of cost-recovery systems for low income user;</i> <i>development agencies</i> – low cost finance and/or risk guarantees <p>Convene and contribute to multi-stakeholder business development partnerships designed to build local SME capacity to act as contractors and suppliers. Partnerships may involve:</p> <ul style="list-style-type: none"> <i>companies</i> – procurement departments, quality inspectors and contract managers <i>local government</i> - vocational training agencies, extension services and <i>micro-credit agencies;</i> <i>NGOs</i> - with business management training capacity, market research and regulatory navigation expertise <i>Banks and development agencies</i> – working capital and business development expertise 	<p>Publicize (e.g. through award schemes) companies showing innovation in social investment, in particular those investments that combine a strong community development benefit with achieving strategic business objectives</p>

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17. Social Reporting and Management Systems	<ul style="list-style-type: none"> Establishment of social management system for evaluating, reporting and assuring social performance Disclosure of timely, regular and reliable information on social performance to Supervisory Board, Executive Management, shareholders, employees, trade unions and non-commercial stakeholders (government departments and agencies, affected communities, NGOs, other community groups etc.) Stakeholder participation in target setting and performance evaluation including: Supervisory Board, Executive Management, key shareholders, employees or their representatives, and non-commercial stakeholders (government departments and agencies, affected communities, NGOs, other community groups etc.) Independent expert assurance of social information disclosed, i.e. certification (through audits) of individual operational businesses and facilities, e.g. AA1000 Aggregation of operational -level social performance across corporations and facilities, reflecting balanced view of performance rather than selected highlights, including: <ul style="list-style-type: none"> health and safety of employees employee satisfaction stakeholder engagement (non-commercial) labor policies and performance human resource development customer satisfaction customer safeguards (quality, safety, advertising, privacy etc) organizational learning interaction with conflict and violence (if applicable) management of human rights management of bribery and corruption charitable giving social and community investment social performance of supplier and distributors stakeholder satisfaction with social performance (commercial and non-commercial) 	L	L	R	R	L												<p>Establishment of mandatory social management and performance reporting integrated within reporting requirements under company law, or as stand-alone legislation addressing a range of social issues not currently addressed through other legislation</p> <p>Require companies publicly listed on national stock exchange to comply with minimum social performance and management requirements, options include:</p> <ul style="list-style-type: none"> statement of business principles that incorporates social policy commitment to continuous improvement commitment to disclose social performance commitment to independent verification commitment to related management and employee training commitment to develop a monitoring system <p>For socially sensitive industries, include in reporting guidelines for Environment Agency and/or specific industry inspectorates a request for information on social management and performance (aim is to link promotion of voluntary codes on social performance within current regulatory framework)</p>	<p>Establish guidelines, codes or policy statements on social performance/accountability for socially sensitive industries</p> <p>Request information on social performance issues from potential new investors and national companies (e.g. those with particularly significant impacts or employing more than a threshold number of employees, or with turnover above a particular threshold)</p> <p>Develop business outreach programs on importance for international market access of preparing for certification of social performance in the future, e.g. dissemination of key social standards: SA8000/AA1000</p> <p>Subsidized training for local auditors/verifiers and dissemination of information on key social standards</p> <p>Provide grants, matched funding, access to low interest debt and other forms of affordable capital to support companies' efforts to improve their social management systems and pay for certification, or to support consultancy firms develop auditing/certification capacity</p> <p>Provide tax incentives for that proportion of operating costs or profits re-invested in setting up social management systems</p>	<p>Participation in multi-stakeholder processes for development of social reporting criteria (e.g. Global Reporting Initiative, SA8000)</p> <p>Joint training programs with company outreach and quality control managers, and civil society groups working with small-scale suppliers, to reduce unintentional consequence of social management systems, e.g. where social management requirements of main buyers acts as a barrier to market access for local SMEs</p> <p>Incorporate teaching of social management, performance and reporting systems into university and MBA curricula.</p> <p>Convene multi-stakeholder forums to cross-fertilize best practices in social management systems (either generalized guidance or industry-specific) involving: inter alia: environmental and health regulators; leadership companies; the principal contractors in the country; and civil society groups</p>	<p>Lead by example, incorporate within the requirements for tender submissions on government contracts, evidence of social reporting and management</p> <p>Publication of guidelines on social reporting and establishment of related management systems based on broad consultations with industry, industry associations, other government departments and civil society groups (and endorsement of these guidelines by key political figures).</p>			

Corporate Governance

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18. Rights and Treatment of Shareholders	<ul style="list-style-type: none"> Basic shareholder rights upheld: <ul style="list-style-type: none"> a secure method of ownership/shareholder registration the right to convey or transfer of shares right to obtain information on the corporation on a timely and regular basis right to participate and vote in general shareholder meetings elect board members onto the Supervisory and Executive management Boards Shareholders informed and able to participate in decisions concerning fundamental corporate changes Disclosure of arrangements enabling certain shareholders to obtain a degree of control disproportionate to their equity ownership Disclosure of the rules and procedures governing the acquisition or sale or corporate control (through the capital markets, mergers, sale of major assets etc.) Shareholders (including institutional investors) consider the costs and benefits of exercising their voting rights All shareholders of the same class receive equal treatment with regard to voting rights No insider trading or abusive self-dealing 	L	L	R	L	L	L	L	L	L	L	L	L	L	L	L	L	<p>Assuming that basic shareholder rights (see CSR column) are captured in company and securities law, consider specific amendments or changes in the regulatory and securities systems to:</p> <ul style="list-style-type: none"> allow shareholder approval of auditors establish maximum terms for external auditors and protection against conflicts-of-interest allow direct nomination of board members afford and ability to pledge shares afford rights to approve the distribution of profits prevent insider dealing prevent use of anti-takeover devices prevent tactical impediments to shareholders exercising their rights, e.g. charging fees to voting, requiring personal attendance at AGMs, or sending proxy materials to close to the time of voting etc. shareholder/creditor involvement in insolvency proceedings <p>Establishment of laws to protect 'whistle-blowers' exposing corporate wrongdoing</p> <p>Develop a legal system that strikes the right balance between allowing investors and shareholder to seek remedies for infringement of ownership rights, but avoiding excessive, drawn-out, litigation</p>	<p>Promote multi-country exchange of private sector best practice through advocacy: e.g. by promoting the idea of best practice exchanges with donors, visiting trade missions, commercial law firms or bar associations</p> <p>Preferential trading of shares by companies that voluntarily undertake to abide by key corporate governance practices and disclosure requirements beyond those in legislation, e.g. allowing pension funds to invest a higher percentage of assets in domestic equities</p> <p>As an alternative to a legal system of shareholder redress for corporate infringement of ownership rights, establish alternative adjudication procedures such as administrative hearings or arbitration procedures organized by securities regulators or others.</p> <p>Develop best practice guidance or codes on employee participation as shareholders (and lead by example in state-owned enterprises), including:</p> <ul style="list-style-type: none"> employee representation on the board employee stock ownership and other types of profit sharing 	<p>Initiate dialogue with concerned trade associations and enterprises to discuss options for strengthening implementation and enforcement of securities regulations e.g. by using commercial levers such as exploring the potential for enhanced synergies with public policy goals and relevant professional associations for the banking, finance, legal and accountancy sectors</p>	

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19. Governance Policies and Business Principles	<ul style="list-style-type: none"> Make publicly available company policy on CSR or Code of Business Principles Incorporate in company policy a commitment to obey domestic laws and regulations and international obligations of the countries of operation Incorporate in company policy a commitment to conduct operations in accordance with the principles of fair competition including refraining from making anti-competitive agreements among competitors (e.g. price fixing, collusive tenders, output restrictions, allocating customers, suppliers, territories or lines of commerce) Develop management systems that continuously improve the extent to which above policies are adopted within business affiliates within which the corporation has an investment or influence Adopt a zero reprisal policy for compliance with business principles, where an individual's or team's remuneration, bonuses and other benefits, as well as promotion prospects or priority ranking in layoffs, are protected against failing to meet commercial targets for reasons relating to the proper application of business principles. The aim is to reduce the incentives for false information disclosure or facilitation payments arising from competing commercial vs. compliance interests. 	L	L	L	R	R												<p>Establish minimum requirements of competition and anti-trust law to prevent price fixing and cartels, rigging bids, competitor agreements on output restrictions and market allocations). Incorporate appropriate penalties and related enforcement framework.</p> <p>Prepare regulatory guidance on enforcement of anti-competitive practices, making clear the scope for discretion by the regulators in response to pressure from other public bodies.</p> <p>Develop securities regulation that links certain good governance standards to stock exchange listing requirements, for example:</p> <ul style="list-style-type: none"> corporate statement of business principles and functions and responsibilities of executive and non-executive board members specific risks register the meeting of core environmental, labor, health and safety standards audited financial statements that disclose transactions relating to the entire corporate group, including off-balance sheet items 	<p>Government to amend regulations, e.g. on health, safety, human rights, corruption, labour and environment to underpin zero reprisal policies of companies aimed at preventing conflicts of interest between commercial objectives and CSR compliance; and provide capacity building for establishing ombudsmen, tribunal and arbitration services accordingly</p> <p>Establish wide rights of access to justice and public access to information (including duties on companies to consult with stakeholders in defined/priority circumstances) with a view to supporting local capacity to hold business to account.</p> <p>Development of in-country industry-wide protocols and principles, combined with reporting procedures, auditing/verification management systems and capacity building capabilities for companies agreeing to adopt the systems</p>	<p>Joint working parties and consultative programs involving industry, government regulators and interested civil society groups in the development of voluntary codes, policies, regulations and/or laws relating to various aspects of CSR.</p> <p>Convene dialogue with civil society organizations to develop principles and arrangements for these organizations to play a constructive role in monitoring corporate governance, social and environmental performance and exposing bad practice that could undermine investment promotion</p>	<p>Initiative Government-backed awards schemes for CSR innovators within businesses (including SMEs)</p>

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20. Information Disclosure and Reporting	<ul style="list-style-type: none"> Disclosure of ownership profile, e.g. state, foreign investors, domestic institutional investors, retail investors, important families, holding companies etc. Provision of timely, regular and reliable information to shareholders, employees and key stakeholders on: <ul style="list-style-type: none"> operational activities proposed activities financial and operating results of company company objectives major share ownership and voting rights members of Supervisory Board and Executive Management material foreseeable risks material issues regarding employees and stakeholders, e.g. HIV/AIDS, risk of accidents governance structure and policies environmental and social performance Information internally verified by Supervisory Board and externally audited by independent experts Establishment of channels for information dissemination fair, timely, cost-efficient and meaningful to shareholders, employees and key stakeholders Disclosure of other information, including: value statements (business principles, governance policies, environmental and social policies, others); management systems for managing risks and complying with laws; and information on relationships with employees and stakeholders Annual financial performance reporting based on reliable sources of information, and describing operating profit, dividends paid, loan preferences, asset sales, interest paid on debt and borrowings etc. Annual environmental performance reporting based on reliable sources of information and as far as practicable aggregated, quantified, data across companies measured against pre-set targets Annual social performance reporting based on reliable information and as based on information reflecting a balanced view of performance rather than selected highlights For all annual reporting, internal verification both by the Management Board and Supervisory (non-executive) Board members For all annual reporting, expert external verification of information and reporting, free from conflicts of interest 		L																						
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22. Customer/End-User Care	<ul style="list-style-type: none"> Compliance with all legally required standards for customer health and safety and include health warnings and product safety and information labels Development of policy and guidelines for customer care, pursuant to domestic law and regulations and international obligations, including management and employee training, monitoring system and performance disclosure For goods and services, provision of accurate and clear information regarding the content, safe use, maintenance, storage and disposal sufficient to enable the end-user make informed decisions Development of disclosure policy and voluntary codes relating to fair marketing and advertising Respect for consumer privacy and protection of personal data Management of an effective customer complaints procedures and timely resolution of consumer disputes without undue cost or burden Consideration of consumer diversity in product labelling Co-operation in a transparent manner with public authorities in the prevention or removal of serious treats to public health and safety deriving from the consumption or use products or services 																	<p>Establish minimum legal requirements to tackle false and misleading product and advertising claims, backed with appropriate complaints and enforcement mechanisms</p> <p>Establish data protection legislation</p> <p>Establish minimum requirements for consumer protection</p>	<p>Raise awareness within private sector and among citizens of obligations in relation to data protection and other relevant legislation</p> <p>Support establishment of professional regulators in the advertising/marketing industry, e.g. through appropriate endorsements of professional bodies' codes</p> <p>Protect domestic export markets by secure technical assistance from bilateral donors or business channels to strengthen capacity for product lab testing, accreditation and certification for internationally traded goods</p>	<p>Partner with professional bodies/civil society based groups to develop and minimum professional codes of ethics.</p> <p>Joint government industry awareness raising among customers and end-users of the measures taken to reduce the environmental risks of production technologies, products and services with aim of building consumer confidence in the market place for goods produced in the country</p>		
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