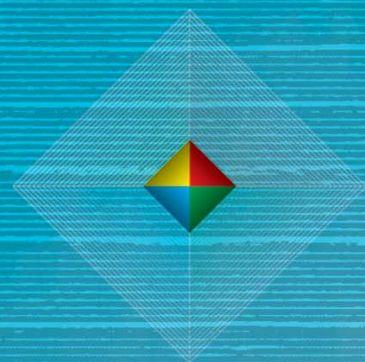


Ethos-Sebrae Corporate Social Responsibility Indicators for Micro and Small Companies

2007

Ethos Institute — Business and Social Responsibility

Brazilian Micro and Small Business Support Service — Sebrae



INSTITUTO
ETHOS

SEBRAE

Sponsors

Abradee

The Brazilian Association of Electric Power Distributors – Abradee – has annually granted its associates, since 2000, the Abradee Social Responsibility Award, using the *Ethos Indicators on Corporate Social Responsibility* as its main assessment criteria. Along these seven years, the use of the Ethos Indicators has significantly supported over 30 electric power distributors in the achievement of important social and environmental advances.

Banco Itaú

Banco Itaú believes the Ethos Institute's *Management Tools* are critical to learning and consolidating the corporate social responsibility knowledge, and, for this reason, we have sponsored its publication in 2006 and 2007. Itaú's commitment to sustainability, besides being embedded in the business strategies, is also shown in its contribution to building and disseminating good social and environmental responsibility practices.

Medley

Medley is participating in the publication of the *2007 Management Tools* because it strongly supports initiatives that aim to discuss, improve, and endorse the sustainability and corporate responsibility themes. The pharmaceutical sector, due to its own operating nature, has great opportunities to develop and foster responsible management culture. In our learning experience, these tools have been very important and, therefore, sponsoring publications such as the *2007 Management Tools* is one more opportunity to share these concepts in the search for a more sustainable society that can offer a more balanced growth to all its citizens.

Natura

Natura believes the Ethos Institute's *Management Tools* are valuable instruments to assist companies in establishing action plans and goals to be incorporated into their strategic planning in order to improve their socially responsible management.

Petrobras

Petrobras' performance is social and environmental responsibility-oriented, and seeks citizenship development coupled with the excellence of its operations in the oil and gas sectors. Therefore, it sponsors the *Management Tools* – developed by the Ethos Institute – which are important instruments for the consolidation of a socially responsible business management. The *Tools* are aligned with the company's performance in the dissemination of corporate social and environmental responsibility practices, and the establishment of partnerships for the construction of a sustainable development model.

Samarco

The Ethos Institute's *Management Tools* have consolidated themselves as critical to a mature and socially responsible business management. Samarco has been using these tools for the last five years, especially the *Ethos Indicators*, which in 2006 were incorporated to measure its social and environmental performance linked with the company's strategic map. Sponsoring this initiative reinforces Samarco's commitment to sustainable development.

Sesi-SC

The Industry Social Service of the State of Santa Catarina (Sesi-SC) restates in 2007 its support to the Ethos Institute's *Management Tools*, an instrument it regards as critical to the dissemination and promotion of practices and values indispensable to sustainable development. Sesi-SC has applied these tools in the assessment of its socially responsible management model, which has been in force since 2002. Acting as a social services provider to industrial companies, Sesi raises companies' awareness of the importance of social responsibility for maintaining business and a quality relationship with all its stakeholders.

Suzano

We support the Ethos Institute's initiative to publish the *Management Tools* for we believe the organizations need to develop a broad and integrated vision of all the instruments that assist them in managing corporate responsibility, so that they can improve and develop this practice in their relationship with society.

Ethos-Sebrae Corporate Social Responsibility Indicators for Micro and Small Companies 2007

**Ethos Institute – Business and Social Responsibility
Brazilian Micro and Small Business Support Service – Sebrae**



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 2. We do not render consultancy services or authorize, or accredit any professional to offer any kind of service on our behalf.
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Introduction

Corporate Social Responsibility (CSR) is a theme that is increasingly present in the companies' agenda worldwide. We live today in a very complex economy that requires companies to reorganize themselves, review their concepts and practices so they can ethically and transparently face the challenges of an increasingly competitive market while meeting the growing demands of society. In this new context, companies must invest — regardless of their size or sector — in the quality of daily relations they establish with their stakeholders, and participate in a joint effort of social, environmental, and economic development.

In 2003, aiming to encourage and support CSR incorporation by micro and small companies into their business practices, the Ethos Institute and the Brazilian Micro and Small Business Support Service — SEBRAE developed two publications: *Ferramenta de Auto-Avaliação e Planejamento* (Self-Assessment and Planning Tool) — *Indicadores Ethos-Sebrae de RSE para Micro e Pequenas Empresas* (Ethos-Sebrae CSR Indicators for Micro and Small Companies), and *Responsabilidade Social Empresarial para Micro e Pequenas Empresas — Passo a Passo* (Corporate Social Responsibility for Micro and

Small Companies — Step by Step). These publications are a set of management tools for micro and small companies, and are available for free download at www.ethos.org.br and www.sebrae.com.br.

In 2006, as a follow-up to this initiative, the Ethos Institute revised the Ethos-Sebrae CSR Indicators for Micro and Small Companies and adapted them to the same online system used for filling out the Ethos Corporate Social Responsibility Indicators, available at www.ethos.org.br.

The *Ethos Indicators* are a business management self-diagnosis and learning tool regarding the incorporation of socially responsible practices. Structured as a questionnaire available free of charge to companies since 2000, its application consists of surveying and filling out data further sent, via system, to the Ethos Institute.

The data provided by the company, its answers to the questionnaire and its diagnosis report will be used with total **confidentiality**¹ by the Ethos Institute, and shall only be made available to third parties upon the company's express authorization.

¹ The Ethos Institute does not use any data received from companies for any kind of award or ranking.

Introduction

The adaptation of the *Ethos Indicators* system for micro and small companies' application aims to provide a tool to help them in their process of commitment to social responsibility and sustainable development. The Ethos Institute believes the incorporation of these concepts by micro and small entrepreneurs may create a strong impact on the Brazilian economy and society. After all, these companies employ 14.6 million out of the 31.5 million formally employed workers in the country².

The micro and small entrepreneurs have shown the capacity to respond with effective actions to the new demands and needs of the market. These entrepreneurs have also become increasingly aware that the socially responsible management is the new way to manage the business and make decisions. This will certainly contribute to the diffusion of new social values, the promotion of social equity and environmental sustainability, and the construction of a better country.

² Data taken from the *Relação Anual de Informações Sociais – RAIS* (Annual Listing of Employees and Salaries) of the Ministry of Labor (2004).

What Micro and Small Companies Are

This publication has adopted Sebrae's definition of micro and small companies, which classifies company sizes according to the number of people employed as follows:

Micro company:

A micro company is defined as one that employs:

- I) Industry and construction:
up to 19 people;
- II) Commerce and services:
up to 9 people.

Small company:

A small company is defined as one that employs:

- I) Industry and construction:
20 – 99 people;
- II) Commerce and services:
10 – 49 people.

Initial Questionnaire

"Corporate social responsibility is the way of conducting business defined by ethical and transparent relations with all stakeholders and the establishment of business goals compatible with the sustainable development of the society, conserving environmental and cultural resources for future generations, respecting diversity, and promoting reduction in social inequalities."

Until recently, competitiveness was based on two mainstays: price and quality. Nowadays, the market has been incorporating a new competitiveness factor: the **QUALITY OF RELATIONS**.

What are quality relations, anyway? They are ethical and transparent relations that add value to all the parties involved. In order to meet this objective, it becomes fundamental

to keep a frank and fair dialogue with all those taking part in your daily business routine, that is, your employees, suppliers, customers, competitors, the public power in your town, state and country, your company neighbors, etc. Therefore, everyone will know what they can and should expect from your company, as well as what your company expects from each one regarding relations and performance.

The CSR will only be integrated into your company's management if you first become aware of the new business environment that has developed, in which you and your company need to live, for it is in this new environment that you must plan your future businesses.

Aiming to foster a reflection on the theme, we would like you to check the alternative that best fits your company's reality in the questionnaire below.

1. About corporate social responsibility:

- a. It is my first contact with the theme.
- b. I have little knowledge about it.
- c. I am seeking to enhance my knowledge about the theme.

2. Regarding legal obligations, my company:

- a. Finds it hard to comply with legal rules and obligations.
- b. Complies with most of the legal rules and obligations.
- c. Regards legal rules and obligations as a priority.

3. For me, ethics is:

- a. Still an abstract concept.
- b. Easy to be understood, hard to be applied.
- c. The foundation upon which human relations should be built.

4. In respect to dealing with people in my company:

- a. I treat each person as he/she deserves.
- b. I seek to treat everyone the same way to avoid conflicts.
- c. I seek to identify individual needs and the best way to meet them.

5. About the environment:

- a. I hardly ever think about it.
- b. I worry about it, but I have not done anything about it.
- c. I seek to respect the environment and encourage others to do the same, with practical solutions.

6. When I relate to my suppliers:

- a. I frequently have conflicts and I always feel jeopardized.
- b. I have a friendly relationship.
- c. I look for suppliers who can be my partners, with similar principles, and who can contribute to my business.

7. Regarding my customers or consumers:

- a. Customers are important, but it is impossible to please them.
- b. I try to take my customers into account when making decisions.
- c. I treat my customers as I would like to be treated by my suppliers.

8. If I overheard what people from the community say about my company, I would certainly hear one of these sentences:

- a. "I do hope they get ahead and move somewhere else!"
- b. "Hey Joe, if there are any openings in the company in work for, don't forget to tell me, ok?"
- c. "Things have picked up a lot since these people from (...) got here!"

9. In times of political elections, in my company:

- a. It is forbidden to talk about politics... fighting about soccer is enough!
- b. People are free to hand out election campaign pamphlets as they please.
- c. I seek to raise the employees' and the community's awareness about the importance of voting, and we organize open discussions whenever possible.

This initial questionnaire is an exercise so we can start to understand that CSR will be embedded in the various relations of the company, in its **values**, in the **transparency** it uses to fulfill its obligations, including those regarding its **governance**, in the way it treats its employees, that is, its **workforce**, in the way it treats the planet, our **environment**, in the type of relations it establishes with its **suppliers, consumers and customers**, in the type of relations it seeks to have with its neighbors, its town, that is, the **community** in which it operates, and, finally, in the type of contribution it offers when influencing the **government** and the **society**. These are the themes represented in the tool we have developed.

If you checked "c" in all the questions, you and your company have already moved considerably towards corporate social responsibility (you might not even know about it...), and this tool will help you shorten the path. If you checked "a" and "b", but would like to have checked "c", you are already thinking about CSR, and these indicators may help you find ways to address this theme. However, if you strongly believe letter "a" is always the best answer, we recommend that you, besides answering the questions below, get acquainted with the new context of the business world we are living in. One suggestion would be getting to

know the Ethos Institute and Sebrae publications and getting in touch with these institutions for further information.

If your company is already familiar with the CSR theme, a closer look at the practices already adopted and a guided planning aimed at enhancing and improving business actions may help you develop faster. As we know, planning addresses the decision we must make **today** in order to achieve a desired future result, and indicates the actions that should occur within a period of time so the objective can be met.

In case your company is beginning to get acquainted with the theme, the *Ethos-Sebrae CSR Indicators* will help you implement a management aimed at improving the quality of company relations with its various stakeholders. In addition, it will make you think over the main aspects to be considered (and maybe changed) within this new context. Right now, the main gain will be to invite people to give their opinions, participate in this discussion, gather information, and define the values that will drive the business and the behavior of the company's employees.

Questionnaire Structure

Theme

The questionnaire is organized in seven broad themes:

- Values, Transparency and Governance
- Workforce
- Environment
- Suppliers
- Consumers and Customers
- Community
- Government and Society

Indicator

The themes, in turn, are divided into 36 indicators, which have the following structure:

Values, Transparency and Governance

Indicator 1 Ethical Commitments

Does the company have a written document clarifying recommended behaviors concerning personal and business relations?

YES ☐ NO ☐ PARTIALLY ☐

In this document will be known by the:

	YES	PART	NO
1.1. employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2. customers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3. suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4. community?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5. Does the company seek to engage its stakeholders (employees, customers, suppliers, community) in the development and review of this document?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.6. Number of stakeholders engaged in the development and review of this document (employees, community, suppliers, customers, government)

	2005	2006	2007
Employees			
Customers			
Suppliers			
Community			
Other stakeholders			
Other stakeholders (additional information)			
It is believed that nothing can be done to solve			

1. Value is the following: 0 = no document, 1 = document, 2 = document in development, 3 = document in review, 4 = document in use, 5 = document in use and review. 2. Value is the following: 0 = no engagement, 1 = engagement, 2 = engagement in development, 3 = engagement in review, 4 = engagement in use, 5 = engagement in use and review.

Quantitative Questions

They propose the systematic gathering of data that will be useful to the company's internal monitoring. Although some indicators do not present this type of question, the data required must be accurately gathered, since they allow a better understanding of the evolution of socially responsible practices.

Values, Transparency and Governance

Indicator 1 Ethical Commitments

Does the company have a written document clarifying recommended behaviors concerning personal and business relations?

YES ☐ NO ☐ PARTIALLY ☐

In this document will be known by the:

	YES	PART	NO
1.1. employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2. customers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3. suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4. community?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5. Does the company seek to engage its stakeholders (employees, customers, suppliers, community) in the development and review of this document?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.6. Number of stakeholders engaged in the development and review of this document (employees, community, suppliers, customers, government)

	2005	2006	2007
Employees			
Customers			
Suppliers			
Community			
Other stakeholders			
Other stakeholders (additional information)			
It is believed that nothing can be done to solve			

1. Value is the following: 0 = no document, 1 = document, 2 = document in development, 3 = document in review, 4 = document in use, 5 = document in use and review. 2. Value is the following: 0 = no engagement, 1 = engagement, 2 = engagement in development, 3 = engagement in review, 4 = engagement in use, 5 = engagement in use and review.

Space for Planning Notes

This space is reserved for notes on appropriate ways for the company to deal with the situation addressed in the indicator. The notes will result from the discussions carried out by the group in charge of answering the questionnaire. Through these discussions, it will be possible to decide on some measures to be taken:

Values, Transparency and Governance

Indicator 1 Ethical Commitments

Does the company have a written document clarifying recommended behaviors concerning personal and business relations?

YES ☐ NO ☐ PARTIALLY ☐

In this document will be known by the:

	YES	PART	NO
1.1. employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2. customers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3. suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4. community?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5. Does the company seek to engage its stakeholders (employees, customers, suppliers, community) in the development and review of this document?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.6. Number of stakeholders engaged in the development and review of this document (employees, community, suppliers, customers, government)

	2005	2006	2007
Employees			
Customers			
Suppliers			
Community			
Other stakeholders			
Other stakeholders (additional information)			
It is believed that nothing can be done to solve			

1. Value is the following: 0 = no document, 1 = document, 2 = document in development, 3 = document in review, 4 = document in use, 5 = document in use and review. 2. Value is the following: 0 = no engagement, 1 = engagement, 2 = engagement in development, 3 = engagement in review, 4 = engagement in use, 5 = engagement in use and review.

Immediately

Easy-to-implement actions, whose necessary resources are available and only depend on a change in the company's attitude.

Values, Transparency and Governance

Indicator 1 Ethical Commitments

Does the company have a written document clarifying recommended behaviors concerning personal and business relations?

☐ No ☒ Partially ☐ Fully

1

a. Was developed and issued by the:

	YES	NO	NA
1.1. employees	1	2	3
1.2. customers	1	2	3
1.3. suppliers	1	2	3
1.4. community	1	2	3

1.5. Does the company need to engage its stakeholders (employees, customers, suppliers, community) in the development and review of this document?

	2006	2007
1.5.1	1	2

b. Number of stakeholders engaged in the development and review of this document (employees, community, suppliers, customers, government)

	2006	2007
Business		
Stakeholders	1	2
1.6. employees	1	2
1.7. customers	1	2
1.8. suppliers	1	2
1.9. community	1	2
1.10. government	1	2
1.11. other stakeholders	1	2
1.12. other stakeholders	1	2
1.13. other stakeholders	1	2
1.14. other stakeholders	1	2
1.15. other stakeholders	1	2
1.16. other stakeholders	1	2
1.17. other stakeholders	1	2
1.18. other stakeholders	1	2
1.19. other stakeholders	1	2
1.20. other stakeholders	1	2
1.21. other stakeholders	1	2
1.22. other stakeholders	1	2
1.23. other stakeholders	1	2
1.24. other stakeholders	1	2
1.25. other stakeholders	1	2
1.26. other stakeholders	1	2
1.27. other stakeholders	1	2
1.28. other stakeholders	1	2
1.29. other stakeholders	1	2
1.30. other stakeholders	1	2
1.31. other stakeholders	1	2
1.32. other stakeholders	1	2
1.33. other stakeholders	1	2
1.34. other stakeholders	1	2
1.35. other stakeholders	1	2
1.36. other stakeholders	1	2
1.37. other stakeholders	1	2
1.38. other stakeholders	1	2
1.39. other stakeholders	1	2
1.40. other stakeholders	1	2
1.41. other stakeholders	1	2
1.42. other stakeholders	1	2
1.43. other stakeholders	1	2
1.44. other stakeholders	1	2
1.45. other stakeholders	1	2
1.46. other stakeholders	1	2
1.47. other stakeholders	1	2
1.48. other stakeholders	1	2
1.49. other stakeholders	1	2
1.50. other stakeholders	1	2
1.51. other stakeholders	1	2
1.52. other stakeholders	1	2
1.53. other stakeholders	1	2
1.54. other stakeholders	1	2
1.55. other stakeholders	1	2
1.56. other stakeholders	1	2
1.57. other stakeholders	1	2
1.58. other stakeholders	1	2
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1.60. other stakeholders	1	2
1.61. other stakeholders	1	2
1.62. other stakeholders	1	2
1.63. other stakeholders	1	2
1.64. other stakeholders	1	2
1.65. other stakeholders	1	2
1.66. other stakeholders	1	2
1.67. other stakeholders	1	2
1.68. other stakeholders	1	2
1.69. other stakeholders	1	2
1.70. other stakeholders	1	2
1.71. other stakeholders	1	2
1.72. other stakeholders	1	2
1.73. other stakeholders	1	2
1.74. other stakeholders		

After some planning

The group knows the company can carry out the actions, but there are factors to be taken into account to enable this implementation.

Values, Transparency and Governance

Indicator 1

Ethical Commitments

Does the company have a written document clarifying recommended behaviors concerning personal and business relations?

1.0 Yes

1.1 No

1.2 Partially

1.3 No

1.4 Yes

1.5 No

1.6 Partially

1.7 No

1

1.0 Yes

1.1 No

1.2 Partially

1.3 No

1.4 Yes

1.5 No

1.6 Partially

1.7 No

1.8 Yes

1.9 No

1.10 Partially

1.11 No

1.12 Yes

1.13 No

1.14 Partially

1.15 No

1.16 Yes

1.17 No

1.18 Partially

1.19 No

1.20 Yes

1.21 No

1.22 Partially

1.23 No

1.24 Yes

1.25 No

1.26 Partially

1.27 No

1.28 Yes

1.29 No

1.30 Partially

1.31 No

1.32 Yes

1.33 No

1.34 Partially

1.35 No

1.36 Yes

1.37 No

1.38 Partially

1.39 No

1.40 Yes

1.41 No

1.42 Partially

1.43 No

1.44 Yes

1.45 No

1.46 Partially

1.47 No

1.48 Yes

1.49 No

1.50 Partially

1.51 No

1.52 Yes

1.53 No

1.54 Partially

1.55 No

1.56 Yes

1.57 No

1.58 Partially

1.59 No

1.60 Yes

1.61 No

1.62 Partially

1.63 No

1.64 Yes

1.65 No

1.66 Partially

1.67 No

1.68 Yes

1.69 No

1.70 Partially

1.71 No

1.72 Yes

1.73 No

1.74 Partially

1.75 No

1.76 Yes

1.77 No

1.78 Partially

1.79 No

1.80 Yes

1.81 No

1.82 Partially

1.83 No

1.84 Yes

1.85 No

1.86 Partially

1.87 No

1.88 Yes

1.89 No

1.90 Partially

1.91 No

1.92 Yes

1.93 No

1.94 Partially

1.95 No

1.96 Yes

1.97 No

1.98 Partially

1.99 No

2.00 Yes

2.01 No

2.02 Partially

2.03 No

2.04 Yes

2.05 No

2.06 Partially

2.07 No

2.08 Yes

2.09 No

2.10 Partially

2.11 No

2.12 Yes

2.13 No

2.14 Partially

2.15 No

2.16 Yes

2.17 No

2.18 Partially

2.19 No

2.20 Yes

2.21 No

2.22 Partially

2.23 No

2.24 Yes

2.25 No

2.26 Partially

2.27 No

2.28 Yes

2.29 No

2.30 Partially

2.31 No

2.32 Yes

2.33 No

2.34 Partially

2.35 No

2.36 Yes

2.37 No

2.38 Partially

2.39 No

2.40 Yes

2.41 No

2.42 Partially

2.43 No

2.44 Yes

2.45 No

2.46 Partially

2.47 No

2.48 Yes

2.49 No

2.50 Partially

2.51 No

2.52 Yes

2.53 No

2.54 Partially

2.55 No

2.56 Yes

2.57 No

2.58 Partially

2.59 No

2.60 Yes

2.61 No

2.62 Partially

2.63 No

2.64 Yes

2.65 No

2.66 Partially

2.67 No

2.68 Yes

2.69 No

2.70 Partially

2.71 No

2.72 Yes

2.73 No

2.74 Partially

2.75 No

2.76 Yes

2.77 No

2.78 Partially

2.79 No

2.80 Yes

After obtaining additional information

The group does not have all the necessary information to plan the actions related to this issue. In order to take a stand, it needs to survey other people, companies or organizations to gather more data on the situation or deepen its knowledge of the issue.

[illegible]

Not at present, because it is believed that nothing can be done

The group considers it impossible to adjust to this statement. The justification seeks to deepen the discussion and eliminate potential resistance to the issue. As a result, it will be possible in the future to tackle the reasons for this impossibility or seek help to solve them.

You can note down, for the same indicator, actions that can be immediately implemented and others that require further information for their execution.

Besides the necessary actions, the names of people in charge of implementation and the deadlines to meet the objectives should also be included.

How to Fill Out the Ethos-Sebrae

Corporate Social Responsibility Indicators

General Guidance

Next, we suggest a way to use this tool by answering some questions that may guide you along the process:

Who should lead the process?

We recommend the adoption of this process by the company's owner or co-owner. The discussion on the theme may have stemmed from an employee or a group of employees, but the support and engagement of the "business owner" are fundamental when controversial or conflicting issues come up inside the team. Thus, even if there is delegation in the conduction of activities, the business owner's sympathy and desire to "make things happen" are paramount.

Who should participate in this assessment?

It depends on the number of employees and availability within the company. We suggest all stakeholders (partners, employees, customers, suppliers) be represented when filling out the tool, thus making the analysis more comprehensive. In case this is impracticable, though, the analysis carried out by the workforce can be very productive. If the company has a small number of employees (up to ten, for instance) and all of them can give their opinions in this process, we believe this will make the implementation easier and the analysis more representative.

For companies with a higher number of employees, a group representing the various

aspects of the company (administrative, production, customer service, leadership, owners, etc.) will be more suitable. As the process matures, the integration of the various stakeholders, such as suppliers, customers, community members, etc., would add an external view to the analysis.

Where to start from?

The actions to be initially developed are the following:

- a. Diffusing throughout the company the CSR concepts and the objectives of using *Ethos-Sebrae Indicators*;
- b. Appointing among the employees one person in charge of clarifying, researching and forwarding doubts that may arise on the theme, who will be referred to in this publication as **Process Leader**;
- c. Defining who will participate in the process of filling out the *Ethos-Sebrae Indicators*;
- d. Setting dates to fill out the tool and the time to be spent in this activity. For instance, one theme a day can be answered.

How to move on with the process?

After diffusing the concepts, choosing the Process Leader and defining the way to fill out the tool, other actions will be necessary:

- a. Choose a **reporter** for the discussions, that is, someone in charge of noting down what is being discussed, commented on and arranged.
- b. Another necessary function is the

facilitator, that is, someone helping in the process to ensure that all participants can express their opinions (and are heard), that the discussions are not taken personally, that the focus is always on the company as a whole, that discussions do not get sidetracked, and, above all, that controversies serve as a means to broaden visions and bring new approaches to the issues. The Process Leader may be in charge of this role if he/she has the required profile.

- c. Another important step (that should be addressed by the company's owner/co-owner) is the importance of frankness to approach the issue. The entrepreneur must make it clear that all companies have points to be improved and this is the objective of this tool. The atmosphere must be free from "fear of retaliation" for unfavorable opinions about the company – participants must be able to express their true opinions, since this is a constructive process.
- d. Further to work completion, the results will be presented to all employees, who should be invited to contribute their suggestions for actions aimed at the achievement of the goals set.

How to prepare the information collected in order to include them in the company's planning?

The appropriate and full performance of the stages previously described will result in the beginning of planning. It is time to make use of the reporter's notes and all information described at the end of each indicator. The next steps of the planning

should take into account the actions suggested in the company's general planning.

If the company's owner/co-owner has participated in all these activities, we understand the planning has been completed. Otherwise, the planning results must be submitted to the company's owner(s), not only for approval, but especially in order to get their commitment.

Sending Answers and Receiving the Diagnosis Report

The Ethos Institute has developed a system through which the company can answer the questionnaire in the pace it deems convenient and send its answers so that they can be entered, together with the answers of the other companies, into the statistical processing made by the Ethos Institute. In this processing, the companies' answers are converted into scores and grades, which will be sent to them by the Ethos Institute in a diagnosis report. This report will enable the company to compare its performance against a benchmarking group (the ten companies with best performance) and against the average of the group of companies that answered the questionnaire in the same period. The report will be available in the company's restricted area on a date to be informed by the Ethos Institute.

Ethos Sectoral Indicators

In order to provide the companies with the possibility of a more accurate and deeper

self-diagnosis, the Ethos Institute has been developing since 1999 specific indicators that encompass dilemmas and peculiarities of each business sector. Such indicators are complementary to the general *Ethos CSR Indicators*, and enable the company to analyze the typical opportunities and challenges of its sector. Aiming to reach a higher level of legitimacy and engagement of companies in this work, the Ethos Institute seeks to perform it in partnership with entities that have a nationwide representation in their sectors.

The sectors which already have their own indicators are the following: electric energy distribution, whose indicators were launched in 1999; bakery and bars/restaurants, in 2002; financial, mining, and paper and pulp, in 2003; road passenger transportation, oil and gas, civil construction, and retail sectors in 2005. If your company is present in one of these sectors, the sectoral questions will be automatically incorporated into the questionnaire. Further information on the *Ethos Sectoral Indicators* can be accessed on the Ethos Indicators page – Sectoral Self-Diagnosis area – at www.ethos.org.br. Companies and business entities of other sectors that might be interested in developing their own indicators should contact the Ethos Institute through the e-mail indicadores@ethos.org.br.

Use of the Ethos Indicators in CSR Management of Value Chains

In order to foster socially responsible practices, the Ethos Institute updated in 2007 the Ethos Indicators system. Now the organizations will be able to access the CSR Indicators of their suppliers and clients/customers upon their consent. When filling out the questionnaire, suppliers and clients/

customers will be able to authorize in the system access to their information, allowing contracting companies to access their data, CSR Indicators, and diagnosis report.

This measure aims to encourage and facilitate socially responsible management processes in value chains of companies committed to the theme and willing to extend the results of their actions to suppliers and clients/customers. The new system will enable priority setting, goals setting and joint initiatives, easier monitoring of actions through periodic assessment, and many other possibilities for the company and its value chain to evolve together towards sustainability.

If your company is interested in developing this initiative together with the Ethos Institute or wants to get further information on it, contact us through the e-mail: indicadores@ethos.org.br.

The Ethos CSR Indicators system is available at www.ethos.org.br.

Glossary of Concepts and Definitions

In the *Ethos CSR Indicators* area on the Ethos Institute website you can find a glossary of concepts and definitions aimed at explaining the key terms to understand the questions posed in each indicator, thus making the questionnaire easy to fill out.

Talk to us

In order to get specific information on the *Ethos-Sebrae Corporate Social Responsibility Indicators*, please contact the Ethos Institute through the e-mail: indicadores@ethos.org.br.

Indicator 1

Ethical Commitments

Does the company have a written document clarifying recommended behaviors concerning personal and business relations?³

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

Is this document well-known by its:

	YES	NO	N/A
1.1. employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2. customers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3. suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4. community?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5. Does the company seek to engage its stakeholders (employees, customers, suppliers, community) in the development and review of this document?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	2005	2006	2007
1.6. Number of stakeholders engaged in the development and review of this document (employees, community, suppliers, customers, government):			

Notes:

immediately

In charge of the action implementation

Deadline to meet the objective

/ /

after some planning

In charge of the action implementation

Deadline to meet the objective

/ /

after obtaining additional information

In charge of the action implementation

Deadline to meet the objective

/ /

It is believed that nothing can be done because

3 Refer to the following Ethos Institute publication: *Formulação e Implantação de Código de Ética em Empresas — Reflexões e Sugestões (agosto 2000)* (Development and Implementation of Code of Ethics in Companies — Reflections and Suggestions (August 2000) available at www.ethos.org.br.

Indicator 2

Anti-Bribery Practices

Does the company prohibit questionable payments or collections aiming at facilitating business deals, influencing decision in favor of the company or inducing people to unduly grant permissions (the company, for instance, prohibits bribery, illegal commissions, preferential treatment, establishing clear rules regarding presents, free gifts etc.)?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

	YES	NO	N/A
2.1. Are there written documents, accessible to employees, suppliers and customers, formalizing this prohibition?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

immediately

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/ /

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/ /

after obtaining additional information

In charge of the action implementation

Deadline to meet the objective

/ /

It is believed that nothing can be done because

Indicator 3

Anti-Corruption Practices

Does the company somehow include in its action ethical and transparent relations with the government (prohibiting “slush funds” and tax evasion, for instance, or making transparent records, reports and statements)?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

	YES	NO	N/A
3.1. Is there any written and diffused document providing employees with information on how to relate to the government?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

immediately

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/ /

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/ /

after obtaining additional information

In charge of the action implementation

Deadline to meet the objective

/ /

It is believed that nothing can be done because

Indicator 4

Social Reporting

Does the company have information on social reporting?⁴☐ YES☐ FOR THE MOST PART☐ PARTIALLY☐ NO☐ It is not applicable to our company (justify)

	YES	NO	N/A
4.1. Does the company believe this tool can help it measure the impact of its operations on people and the environment, and to diffuse its future commitments regarding these issues?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.2. Does the company make a social report?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the company disclose its social report (in bulletin boards, circulation halls, neighborhood newspaper etc.) to:			
4.3. its workforce?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.4. its consumers and customers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.5. its suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.6. the surrounding community?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

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/ /

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/ /

after obtaining additional information

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Deadline to meet the objective

/ /

It is believed that nothing can be done because

⁴ Refer to *Guia para Elaboração de Balanço Social e Relatório de Sustentabilidade 2007* (Social and Sustainability Reporting Guide — 2007), available for download at www.ethos.org.br/docs/conceitos_praticas/guia_relatorio/default.htm. Access also www.balancosocial.org.br.

Indicator 5

Corporate Governance

Does the company clearly distinguish the owner's businesses from the company's (including social responsibility and donation-related issues)?⁵

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

	YES	NO	N/A
5.1. It is clear to the entrepreneur the difference between his personal businesses and the company's?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

immediately

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/ /

after some planning

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Deadline to meet the objective

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after obtaining additional information

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It is believed that nothing can be done because

⁵ This discussion refers to corporate governance, regardless of the company size. For further information, access www.ibgc.org.br.

Indicator 6**Concern for Health, Safety and Working Conditions**

In addition to complying with the legal obligations, does the company provide its employees with a nice and safe physical environment, encourage concern for health and safety, and is it open to criticism and suggestions concerning these issues?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)
About the company:

	YES	NO	N/A
6.1. Has it banned smoking in the workplace?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.2. Does it encourage employees to practice physical activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.3. Does it advise employees on posture care while performing professional activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.4. Are its facilities in good conditions for use?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.5. Does it offer Personal Protection Equipment (PPE) such as goggles, helmet and ear plugs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.6. Does it give advice on and encourage the use of PPE?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:**immediately**

In charge of the action implementation

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/ /

after some planning

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Deadline to meet the objective

/ /

after obtaining additional information

In charge of the action implementation

Deadline to meet the objective

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It is believed that nothing can be done because

Indicator 7

Additional Benefits

Does the company provide its employees and their dependents with additional benefits?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

Does the company provide its employees with:	YES	NO	N/A
7.1. a family health plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.2. food basket?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.3. advice on disease prevention (such as diseases caused by sedentary life style, aids, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.4. advice on vaccination/immunization campaigns carried out by the public health system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.5. monitoring and advice on their children's vaccination schedule?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.6. vaccination not offered by the public health system (such as the influenza vaccine)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.7. day care at the workplace or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.8. meals coupons?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

immediately

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after obtaining additional information

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Deadline to meet the objective / /

It is believed that nothing can be done because

Indicator 8

Hiring Criteria

When hiring employees, does the company disclose the objective criteria it is going to use to recruit applicants (such as education level, experience, and required knowledge)?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

	YES	NO	N/A
8.1. When there are openings, does the company prioritize existing employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

immediately

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the objective / /

after some planning

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action implementation

Deadline to meet
the objective / /

after obtaining additional information

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action implementation

Deadline to meet
the objective / /

It is believed that nothing can be done because

Indicator 9

Valuing Diversity and Promoting Equality

Is the recruiting criteria used exempt from discriminatory practices concerning gender, race, sexual orientation, age, religious or political beliefs of the applicants, and as well as people with disabilities?⁶

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

	YES	NO	N/A
9.1. When announcing job openings, does the company avoid using expressions such as "below 40", "good looking", "male sex", "female sex", etc.?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

About the company:

9.2. Does it offer work opportunities for former prisoners? ⁷	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.3. Does it have a special hiring program for the elderly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.4. Does it make openings for apprentices available? ⁸	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Percentage in relation to the total headcount:	2005	2006	2007
9.5. Women:			
9.6. Men:			
9.7. Indigenous people:			
9.8. Afro-descendants (blacks and mulattos):			
9.9. Collaborators over 45:			
9.10. People with disabilities:			

Notes:

immediately

In charge of the action implementation

Deadline to meet the objective

/ /

after some planning

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/ /

after obtaining additional information

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Deadline to meet the objective

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It is believed that nothing can be done because

6 Refer to the following Ethos Institute publications: *Como as Empresas Podem (e Devem) Valorizar a Diversidade* (How Companies Can (and Must) Value Diversity); *Perfil Social, Racial e de Gênero das 500 Maiores Empresas do Brasil e Suas Ações Afirmativas, Pesquisa 2006* (Social, Racial and Gender Profile of the 500 Largest Companies in Brazil and their Affirmative Actions — 2006 Research); *O que as Empresas Podem Fazer pela Inclusão das Pessoas com Deficiência* (What Companies Can Do for the Inclusion of People with Disabilities); and *O Compromisso das Empresas com a Promoção da Igualdade Racial* (Business Commitment to the Promotion of Racial Equality), all available at www.ethos.org.br.

7 Refer to the Ethos Institute manual *O que as Empresas Podem Fazer pela Reabilitação do Preso* (What Companies Can Do for the Recovery of Prisoners), available at www.ethos.org.br.

8 According to the *Lei do Aprendiz* (Apprentice Act), all medium-sized and large companies must hire apprentices accounting for between 5% and 15% of the total headcount whose functions require vocational education. Micro and small companies are not required to hire apprentices, but they can do it, thus contributing to the vocational education of adolescents. For further information, access www.leidoaprendiz.org.br.

Indicator 10

Inclusion of People with Disabilities

There is a growing inclusion of people with disabilities in the labor and consumption markets. Do the company premises have facilities for the mobility and permanence of physically, hearing and visually impaired people (such as ramps, safety signs written in Braille, light and sound signs in areas of vehicles or machinery circulation, etc.)?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

	YES	NO	N/A
10.1. Are the company employees advised on how to appropriately live with and assist people with disabilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

immediately

In charge of the action implementation

Deadline to meet the objective

/ /

after some planning

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/ /

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Deadline to meet the objective

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It is believed that nothing can be done because

Indicator 11

Relations with Unions

As a way to show respect for the individual and transparency in its relations with the workforce, does the company understand employees are entitled to participate in unions and class associations, and allow union representatives to enter the company to discuss issues of employees' interest?⁹

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

	YES	NO	N/A
11.1. Does the company provide employees with basic information on workers' rights and duties, such as collective labor agreement, union dues, etc.?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

immediately

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/ /

after some planning

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/ /

after obtaining additional information

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Deadline to meet the objective

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It is believed that nothing can be done because

9 For further information, refer to Dieese — Inter Trade Union Department of Statistics and Socio-Economic Studies at www.dieese.org.br

Indicator 12

Commitment to Professional Development and Employability

Does the company value and encourage its employees' professional development? ¹⁰

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

About the company:

	YES	NO	N/A
12.1. Does it offer scholarship courses for its employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.2. Does it have an internship program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.3. Does it offer incentives to employees enrolled in courses at all levels?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.4. Can all its employees read and write?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	2005	2006	2007
12.5. Percentage of illiterate employees in the company:			
12.6. Percentage of employees who completed Primary School I (1st-4th grade):			
12.7. Percentage of employees who completed Primary School II (5th-8th grade):			
12.8. Percentage of employees who completed Secondary School (High School):			
12.9. Percentage of employees who completed Higher Education (college, university):			

Notes:

immediately

In charge of the action implementation

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/ /

after some planning

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Deadline to meet the objective

/ /

after obtaining additional information

In charge of the action implementation

Deadline to meet the objective

/ /

It is believed that nothing can be done because

¹⁰ Refer to the following Ethos Institute manuals: *O que as Empresas Podem Fazer pela Educação* (What Companies Can Do for Education) and *O Compromisso das Empresas com o Alfabetismo Funcional* (Business Commitment to Functional Literacy), available at www.ethos.org.br.

Indicator 13

Access to Information

Does the company offer easy access to information as a means to personal and professional development of its employees?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

	YES	NO	N/A
13.1. Does the company encourage its employees to update their knowledge using resources it offers (e.g. encouraging reading of newspapers and magazines made available, and access to the Internet in previously defined times)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13.2. Considering that the growing credit facilities in the market has been accompanied by an increase in delinquency, many people fall into debts they cannot pay. Does the company advise its employees to consciously use credit? ¹¹	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

immediately

In charge of the action implementation

Deadline to meet the objective

/ /

after some planning

In charge of the action implementation

Deadline to meet the objective

/ /

after obtaining additional information

In charge of the action implementation

Deadline to meet the objective

/ /

It is believed that nothing can be done because

11 Further information at: www.akatu.org.br – <http://www.akatu.org.br/cgi/cgilua.exe/sys/start.htm?infoid=1346&sid=21&tpl=view%5Ftipo4%2Ehtm>

Indicator 14

Environmental Impacts and Product and Service Life Cycle Management

Does the company know, understand and assess the impacts of its activities on the environment (such as pollutant emissions, soil erosion, high energy, water and fuel consumption, etc.), drawing up reports to measure them?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

About the company:

	YES	NO	N/A
14.1. Does it use in its processes materials that cause less damage to the environment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14.2. Does it establish partnerships with suppliers aimed at the reclaim of disposed products to their manufacturer (e.g. expired products, used tires, batteries, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14.3. Does it try to control and reduce sound and visual pollution caused by its processes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

immediately

In charge of the action implementation

Deadline to meet the objective

/ /

after some planning

In charge of the action implementation

Deadline to meet the objective

/ /

after obtaining additional information

In charge of the action implementation

Deadline to meet the objective

/ /

It is believed that nothing can be done because

Indicator 15

Commitment to Environmental Quality Improvement

Does the company try to implement in its premises and its activities actions aimed at conserving the environment?¹²

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

Does the company perform in its premises:	YES	NO	N/A
15.1. selective waste collection (e.g. having special containers for paper, glass, metal, plastic and organic waste)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15.2. paper consumption reduction (e.g. using both sides of the sheets)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15.3. energy consumption reduction (e.g. through better use of natural lighting, energy-efficient electronic devices, energy-saving devices for stand-by losses)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15.4. water consumption reduction (e.g. through automatic faucet shut-off valves, flushes with reduced discharge load, rainwater collection for use in industrial activities, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15.5. supplier procurement guidance policy to prioritize those who do not harm the environment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15.6. end disposal suitable for residues that require special treatment, such as batteries, oils, tires, and hospital waste, among others?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

immediately

In charge of the action implementation

Deadline to meet the objective

/ /

after some planning

In charge of the action implementation

Deadline to meet the objective

/ /

after obtaining additional information

In charge of the action implementation

Deadline to meet the objective

/ /

It is believed that nothing can be done because

¹² See the Ethos Institute manual *O Compromisso das Empresas com o Meio Ambiente – A Agenda Ambiental e a Sustentabilidade da Economia Florestal* (Business Commitment to the Environment – The Environmental Agenda and the Forest Economics Sustainability), available at www.ethos.org.br.

Indicator 16

Environmental Education & Awareness

One effective way to reduce environmental impacts is promoting environmental educational campaigns focused on employees and their families, and the surrounding community. Does the company do it?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

Does the company:	YES	NO	N/A
16.1. conduct water and energy consumption reduction campaigns?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16.2. conduct materials recycling campaigns?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16.3. conduct campaigns aiming to appropriately dispose toxic waste (such as ink cartridges, batteries, glue, agrochemicals packaging, cleaning products, solvents, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16.4. encourage carpooling and to means of transport that are not harmful to the environment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16.5. provide information on protected areas and endangered species where the company is located?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16.6. provide support to environmental education initiatives and projects?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

immediately

In charge of the action implementation

Deadline to meet the objective

/ /

after some planning

In charge of the action implementation

Deadline to meet the objective

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after obtaining additional information

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Deadline to meet the objective

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It is believed that nothing can be done because

Indicator 17

Criteria Used in Selection and Assessment of Suppliers

When contracting a new supplier, besides requiring a good commercial proposal (with quality, price and delivery term), does the company consider whether this supplier uses socially responsible practices?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

About the company:	YES	NO	N/A
17.1. Does it verify suppliers' compliance with labor laws?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.2. Does it verify suppliers' compliance with social security laws?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.3. Does it verify suppliers' compliance with tax laws?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.4. Does it learn about suppliers' principles?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.5. Does it learn about suppliers' social responsibility policy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
In order to select its suppliers does the company assess:			
17.6. respect to human rights?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.7. appropriate working conditions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.8. diversity valorization?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.9. concern for the environment when conducting business (by avoiding, for instance, furniture manufacturing with wood obtained from inadequate sources; shoemaking with leather from tanneries that do not have effluent treatment)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
About the company:			
17.10. Does it value or prioritize suppliers that have ethical and transparent relations with their competitors (e.g. not demanding exclusive supply rights)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.11. Does it adopt purchasing criteria that take into account the source guarantee to avoid purchasing of pirate or forged products or those resulting from cargo robbery?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.12. Does it demand an invoice for every purchased product?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.13. Does it encourage and value the adoption by suppliers of an environmental management system and environmental certifications? (such as ISO 14001 ¹³ , FSC seal ¹⁴ , and others)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

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It is believed that nothing can be done because

¹³ The ISO 14001 presents a series of guidelines that help companies to establish and implement an environmental management system, providing the requirements to be considered for auditing and certification purposes. Based on methods and analyses, the standard seeks to ensure that a certain producer of goods or services makes use of management processes and specific procedures aiming at the reduction of environmental damage. For further information, access www.iso.org/iso/en/iso9000-14000/iso14000/iso14000index.html.

¹⁴ The FSC seal is one of the most important environmental certifications. The FSC (Forest Stewardship Council) aims to disseminate good forest management practices according to principles and criteria that integrate ecological protection with social benefits and economic feasibility. The FSC Forest Management seal attests that the timber or another forest input used in a certain product derives from a sustainably managed forest – ecologically, socially, and economically – and was obtained in compliance with the laws in force. The FSC Chain of Custody seal ensures traceability of the forest raw materials used in intermediate or end products from the forest to the end consumer. The seal serves to guide the conscious consumer to choose a product that does not harm the environment and contributes to social and economic development. The seal also helps the purchaser – retailer or wholesaler – to choose a distinguished, value added product, able to conquer a more demanding public, and therefore, open new markets. For further information, access www.fsc.org.br.

Suppliers

Indicator 18

Suppliers' Employees

Does the company continuously verify the conditions offered by its suppliers to their employees?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

	YES	NO	N/A
18.1. Does the company regularly require from its suppliers FGTS (Government Severance Indemnity Fund for Employees) and INSS (National Institute of Social Security) payment forms?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the company carry out visits to check whether suppliers:			
18.2. make use of child labor? ¹⁵	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18.3. provide its employees with appropriate health, safety and hygiene conditions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

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It is believed that nothing can be done because

¹⁵ As a means to prevent and abolish child labor, the International Labour Organisation adopted Convention 138, dated 1973, concerning minimum age for admission to employment, and Convention 182, dated 1999, on worst forms of child labor. Source: OIT Brasil (www.oitbrasil.org.br).

Suppliers

Indicator 19

Suppliers Social Responsibility

Does the company try, whenever possible, to advise suppliers to follow its social responsibility principles, and offers to support them in their implementation?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

About the company:

	YES	NO	N/A
19.1. Does it develop social responsibility actions in partnership with its suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19.2. Does it articulate or participate in programs and activities that seek to strengthen the rights of children and adolescents and abolish child labor in its production chain?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

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Deadline to meet the objective / /

after obtaining additional information

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Deadline to meet the objective / /

It is believed that nothing can be done because

Indicator 20

Support to Supplier Development

Does the company seek suppliers in cooperatives of small producers, residents associations, and income generation projects (such as artisans cooperatives, business incubators, micro and small companies in general, etc.)?¹⁶

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

	YES	NO	N/A
20.1. Does the company encourage the formalization and qualification of small suppliers, helping them to adjust to the market standards? ¹⁷	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

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It is believed that nothing can be done because

¹⁶ For further information, refer to *Faces do Brasil* at www.facesdobrasil.org.br.

¹⁷ Refer to the following Ethos Institute manual: *Como Fortalecer a Responsabilidade Social nas Relações entre Grandes e Pequenas Empresas* (How to Strengthen Social Responsibility in the Relationship Between Large and Small Companies), available at www.ethos.org.br.

Indicator 21

Excellence in Customer Service

Does the company have a formal communication channel with its consumers/customers (such as suggestion box, telephone number and e-mail address with the contact name)?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

	YES	NO	N/A
21.1. Do the company's products/services always bring clear instructions on how to contact the company (mailing address, contact telephone number, website or e-mail)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

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It is believed that nothing can be done because

Indicator 22

Doubts, Suggestions and Complaints

Does the company analyze the doubts, suggestions and complaints submitted, and use them as a tool to improve its activities?¹⁸

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

In its customer and consumer relations, does the company:

	YES	NO	N/A
22.1. devise forms to document the information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22.2. analyze improvements to be implemented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22.3. responds to and/or clarifies doubts submitted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22.4. set goals and deadlines to solve the problems raised?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

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It is believed that nothing can be done because

18 For further information, refer to Procon – Fundação de Proteção e Defesa do Consumidor (Foundation for Consumer Protection and Defense) at www.procon.sp.gov.br.

Indicator 23

Consumer/Customer Satisfaction

Does the company carry out satisfaction surveys among its consumers/ customers and, based on their results, aim to improve its products/services?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

One of the objectives of the survey is:

23.1. improving product/service quality?

YES NO N/A

☐ ☐ ☐

23.2. improving the quality of daily relations, including pre and post-sales, with ethical and transparent relations?

☐ ☐ ☐

Notes:

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Deadline to meet the objective

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It is believed that nothing can be done because

Indicator 24

Business Communication Policy

In its communication (contracts, advertisements), has the company banned the use of deceiving content or content that leads the consumer/client to misunderstand things?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

About the company:

	YES	NO	N/A
24.1. Has the company banned in its communication the use of content that refers to aspects that can embarrass or disrespect specific groups (such as women, children, the elderly, homosexuals, racial groups, religious groups, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24.2. Does it encourage and educate its consumers to adopt conscious and responsible consumption behavior (e.g. appropriate packaging disposal)? ¹⁹	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

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It is believed that nothing can be done because

19 For further information on Conscious Consumption, refer to the Akatu Institute at www.akatu.org.br.

Indicator 25

Knowledge and Management of Potential Harm Caused by Products and Services

Does the company carry out research on potential risks its products and services may cause to consumers/customers health and safety, and disclose such information?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

About the company:

	YES	NO	N/A
25.1. Does it include a notice in the packaging of its products warning about potential risks to its consumers/customers health and safety?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25.2. Is it ready to take corrective measures in case its products and services may cause any harm to consumers/customers health and safety?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25.3. Does it advise and train its employees on complying with regulations related to responsible sale of products? (not selling, for instance, tobacco, alcohol beverages, fireworks, erotic and pornographic material to adolescents under 18; selling drugs only upon presentation of medical prescription, etc.) ²⁰	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25.4. Does it forbid its employees to sell cigarettes, alcoholics, fireworks or erotic and pornographic material to adolescents under 18, and warns them about the possible harm caused by this type of sale?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25.5. Does it only give the customer's file information to third parties upon the customer's authorization? ²¹	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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It is believed that nothing can be done because

20 The Child and Adolescent Statute – Section 81 – enacted by Act 8069 dated Jul 13, 1990, forbid the sale to children and adolescents of guns, ammunition, explosives, alcohol beverages, products with substances that cause physical dependency or psychological addiction, fireworks, magazines and publications with unsuitable and inappropriate content, lottery tickets, and the like.

21 The main source of harm to customers caused by service providers is disclosure of personal data used in their business transactions. It is important to take this aspect into account in the self-assessment.

Indicator 26

Management of the Company's Impact on the Surrounding Community

Is the company always in touch with the surrounding community trying to minimize the negative impacts that its activities may cause?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

About the company:

	YES	NO	N/A
26.1. Does it carry out surveys involving the surrounding community to prevent or find out potential problems caused by its operations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26.2. Does it invite local residents to participate in meetings to discuss issues of collective interest?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Considering its potential impact on the surrounding community, does the company take measures to control:

26.3. excessive vehicle traffic?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26.4. proper waste disposal?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26.5. pollution emission?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26.6. noise level?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

immediately

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Deadline to meet the objective / /

after some planning

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after obtaining additional information

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Deadline to meet the objective / /

It is believed that nothing can be done because

Indicator 27

Relations with the Surrounding Community

Considering that the local community's prosperity and situation can directly reflect on the business success of micro and small companies, does the company have management practices that bring benefits to the local development?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

In its relationship with the community, does the company try to:

	YES	NO	N/A
27.1. buy products / hire services from local entrepreneurs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27.2. hire employees that live nearby?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27.3. make use of services offered by non-governmental organizations or cooperatives located near the company?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

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action implementation

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the objective

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the objective

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action implementation

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the objective

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It is believed that nothing can be done because

Indicator 28

Encouragement to Volunteer Work

Does the company encourage its employees to do volunteer work?²²☐ YES☐ FOR THE MOST PART☐ PARTIALLY☐ NO☐ It is not applicable to our company (justify)

About the company:

	YES	NO	N/A
28.1. Does it monitor the volunteer work done by its employees in local institutions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28.2. Does it acknowledge the relevance of the volunteer work done by its employees by publicizing it through bulletin boards, newsletter, local newspaper, etc.?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

immediately

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after some planning

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Deadline to meet the objective

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It is believed that nothing can be done because

22 About this theme, see the Ethos Institute manuals *Como as Empresas Podem Implementar Programas de Voluntariado* (How Companies Can Implement Volunteering Programs) and *Como as Empresas Podem Participar de Programas de Segurança Alimentar com a Mobilização de Funcionários* (How Companies Can Participate in Food Security Programs by Mobilizing Their Employees), available at www.ethos.org.br.

Indicator 29

Company's Engagement in Social Action

Has the company been supporting at least one local institution, and does it mobilize its networking in favor of this organization?²³

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

When seeking to support this institution, does the company:

	YES	NO	N/A
29.1. advertise the work it carries out to customers and suppliers, community members, and other organizations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
29.2. highlights the institution's activities in its promotional material, on its website, etc.?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
29.3. encourage its employees' volunteer work in the projects undertaken by the institution?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

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after obtaining additional information

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Deadline to meet the objective

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It is believed that nothing can be done because

23 About this theme, refer to the following Ethos Institute manuals: *O que as Empresas Podem Fazer pela Erradicação da Pobreza* (What Companies Can Do for the Eradication of Poverty), *Segurança Alimentar e Nutricional: a Contribuição das Empresas para a Sustentabilidade das Iniciativas Locais* (Food and Nutrition Security: the Contribution of Companies to Local Initiatives), *Segurança Alimentar: a Contribuição das Entidades Empresariais* (Food Security: Business Associations Section 0 Contribution), *O que as Empresas Podem Fazer pela Inclusão Digital* (What Companies Can Do for Digital Inclusion), and *Como as Empresas Podem Apoiar e Participar do Combate à Fome* (How Companies can Support and Participate in the Fight Against Hunger). They are all available at www.ethos.org.br

Indicator 30

Relations with Benefited Institutions

Is there an honest dialogue between the company and its benefited institution(s) about the role played by each one in the partnership?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

	YES	NO	N/A
30.1. Does the company try to always monitor the results reached by this partnership (checking, for instance, the type of gains it has brought to the institution, the company, and to the people assisted; the next steps to continue the partnership; when the partnership will end, how the institution will survive without the company's support, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

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It is believed that nothing can be done because

Indicator 31

Participation in the Community

Corporate social responsibility must be a way to manage business, and profit-making is part of the process. When choosing to support a certain institution or project, does the company seek somehow to reconcile its interests with those of this institution or project?*

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

	YES	NO	N/A
31.1. Does the company carry out educational and/or public interest campaigns in the community together with local organizations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

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It is believed that nothing can be done because

* A company that makes sporting goods, for instance, decides to support an institution that fosters the education of young people through sports because it considers linking its image to this activity can be beneficial. Another example: a stationery store decides to support the renovation of public school furniture and facilities because it believes the community approval of its initiative will result in higher sales volume.

Indicator 32

Benefits for the Business

Does the company believe it has gained benefits for the business as a result of its activity in the surrounding community?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

Do these benefits include:	YES	NO	N/A
32.1. increased sales?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
32.2. improved supplier relations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
32.3. new contacts or customers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
32.4. lower turnover?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
32.5. savings in facilities' safety and maintenance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
32.6. Does the company carry out a local needs survey before designing its projects for the community?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

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It is believed that nothing can be done because

Indicator 33

Social Leadership and Influence

Does the company participate in organizations aiming to integrate its employees (such as business and commercial associations, regional forums, etc.)?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

	YES	NO	N/A
33.1. Does the company use this space to get updated, and discuss with other companies its difficulties, needs and ways to mobilize stakeholders in search of better conditions both for the business and for the community?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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It is believed that nothing can be done because

Indicator 34

Involvement in Political Campaigns

Is the company careful about its involvement in political campaigns?²⁴

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

About the company:	YES	NO	N/A
34.1. Does it promote electoral debates?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
34.2. Does it encourage conscious voting?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
34.3. Is it transparent when it decides to make donations to any candidate or political party?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
34.4. Does it carefully analyze the distribution of political campaign materials (voter's registration card case, T-shirts, bags, calendars, pamphlets, souvenirs, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

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It is believed that nothing can be done because

²⁴ About this theme, see the Ethos Institute manual *A Responsabilidade Social das Empresas no Processo Eleitoral*, Edição 2006 (Corporate Social Responsibility in the Electoral – Process 2006), available at www.ethos.org.br.

Indicator 35

Participation and Monitoring of Public Policy

Does the company inform its employees on the relevance of participating in the public administration (by engaging in participative budgeting, election of municipal councils, public consultations, etc.)?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

	YES	NO	N/A
35.1. Besides fostering the participation in the public administration, does the company also encourage its employees to monitor its actions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

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It is believed that nothing can be done because

Indicator 36

Improvement in Public Spaces/Buildings and Support to Government Social Projects

Does the company cooperate whenever necessary (and possible) with the improvement in public spaces/buildings in its community (such as schools, health centers, squares, green areas, etc.)?

☐ YES

☐ FOR THE MOST PART

☐ PARTIALLY

☐ NO

☐ It is not applicable to our company (justify)

	YES	NO	N/A
36.1. Does the company take any action to teach employees how to use the income tax deduction in favor of the Children and Adolescents' Rights Fund? ²⁵	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Notes:

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It is believed that nothing can be done because

²⁵ According to Section 260 of the Child and Adolescent Statute, taxpayers are allowed to deduct in their income tax return the total value of donations made to Children and Adolescents' Rights Fund, whether local, state or federal, provided they are duly evidenced and within established limits.

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