



The American Chamber of Commerce in Shanghai  
上海美国商会

**7th Annual AmCham Shanghai  
Corporate Social Responsibility Awards  
Nomination Kit**

Nomination Deadline: January 10, 2012

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## Overview:

The American Chamber of Commerce in Shanghai welcomes you to participate in the 7th Annual AmCham Shanghai Corporate Social Responsibility (CSR) Awards.

These awards will honor and showcase organizations and individuals who have made notable contributions to further corporate citizenship in China. By drawing attention to these organizations, The American Chamber of Commerce in Shanghai and its Corporate Social Responsibility Committee aim to acknowledge their efforts, encourage CSR development and provide models for other organizations to emulate.

This annual event serves as a platform for corporations to share their CSR best practices, including philanthropy, community outreach, corporate volunteer programs, employee health and safety initiatives, environmental initiatives, educational efforts, corporate governance, clean supply chain, social innovation and public private partnerships.

Awards will be presented in five categories. Please read specific eligibility instructions on page nine. Applicants may apply for more than one of the following categories:

- **CSR Leadership Award** – presented to an AmCham Shanghai member company in China to recognize its overall CSR achievements.
- **CSR Innovation Award** – presented to a company that is addressing complex social or environmental issues or needs in China by leveraging corporate resources in new and unique ways.
- **Corporate Community Involvement Award** – presented to a company with outstanding corporate volunteer programs to honor overall employee volunteer effort including the community service projects, program policies and corporate vision that support those volunteer activities.
- **CSR Partnership Award** – presented to an AmCham Shanghai member company and an NGO which have exemplified success in working together to address an important social issue. The award will recognize a nominated business organization and its nonprofit partner.
- **CSR Practitioner Award** – presented to an individual from an AmCham Shanghai member company who most effectively advances social responsibility in the workplace and builds ties between an enterprise, either large or small, and the community that it serves.

## Awards Evaluation Framework:

### Evaluation Framework for CSR Leadership Award and CSR Award for Non-FIE

The CSR Leadership Award is presented to an AmCham Shanghai member company in China to recognize its overall CSR achievements, leadership and pioneering role in CSR practices. **Please review eligibility guidelines on page 12 before applying.**

The evaluation will be based on the company's 2010 and 2011 (January 2010-December 2011) performance, including any ongoing projects within mainland China.

To guide AmCham Shanghai CSR Award Judging Panel in evaluating nominees and selecting awardees, the Chamber will reference the ISO 26000, the guidance on social responsibility released by the International Organization for Standardization. The AmCham Shanghai CSR Awards Judging Panel will use the indicators/factors below as a guide only. Applicants are **not** obliged to address all indicators or factors. Applicants are encouraged to prepare submissions based on their particular areas of expertise OR overall performance capabilities.

All evaluations and final decisions in terms of award recipients will be determined solely by AmCham Shanghai. The AmCham Shanghai CSR Awards Judging Panel may opt to give out additional awards in special categories not listed within this document.

## **STRATEGY/ORGANIZATIONAL GOVERNANCE**

### **Strategy**

- Statement from the most senior decision-maker of the organization in China (e.g., CEO, Chair or equivalent senior position) about the relevance of sustainability to the organization and its strategy
- Description of key impacts on sustainability, and associated challenges and opportunities under the operation of the organization in China

### **Organizational Governance - Decision-making processes and structures**

- Every organization has decision-making processes and structures. In some cases, these are formal and sophisticated; in other cases, they are informal, rooted in organizational culture and values. Please describe the processes, systems, structures or other mechanisms that make it possible to apply the principles and practices of corporate social responsibility.

## **FAIR OPERATING PRACTICES**

### **Anti-corruption**

- Risk identification, policies and practices implementation
- Leadership sets a good example
- Support and training of employees
- Effective management, compliance and reporting system

### **Responsible Public Sector Involvement**

- Training employees and representatives; raising awareness regarding responsible government involvement and how to deal with conflicts of interest
- Clear prohibition of activities that involve misinformation, misrepresentation, threat or compulsion

### **Fair Competition**

- Establishment of procedures and other safeguards to prevent engaging in or being complicit in anti-competitive behavior
- Promotion of employee awareness of fair competition

### **Promoting Social Responsibility in Value Chains**

- Integration of ethical, social, environmental and gender equality criteria, and health and safety, in purchasing, distribution and contracting policies and practices
- Encouragement for other organizations to adopt similar policies, without indulging in anti-competitive behavior in so doing
- Active participation in raising the awareness of external stakeholders about principles and issues of social responsibility

## **ENVIRONMENTAL IMPACT**

### **Policy and Principles**

- Presence of a company policy on environmental responsibility
- Precautionary approach in decision-making processes that involve threats of serious or irreversible damage to the environment or human health
- Application of environmental risk management in all aspects of business operations
- Adoption of responsible approaches to existing environmental incidents

### **Environment Initiatives**

- Description of a company's initiatives to address pollution prevention, sustainable resource use, climate change mitigation & adaptation, protection of the environment, biodiversity and restoration of natural habitats

## **SOCIAL IMPACT**

### **Community Involvement and Development**

- Community involvement – proactive outreach to the community which prevents and solves problems, fosters partnership and inspires employees to be good corporate citizens of the community
- Education and culture – support for education and cultural initiatives
- Technology development and access – advocacy for full, safe access to modern technology to increase economic and social development

### **Other Elements to be Highlighted**

- Project sustainability
- Percentage of pre-tax profits spent on community involvement and development

- Employee involvement and management participation in community service programs

### **Consumer Rights, Access & Empowerment**

- Fair marketing, factual and unbiased information and fair contractual practices
- Protecting consumers' health and safety
- Sustainable consumption
- Consumer service, support and dispute resolution
- Consumer data protection and privacy
- Education and awareness

## **WORKPLACE PRACTICES**

### **Employee Development & Training**

- Effective training and development processes to enhance skills of all workers
- Training for managers and supervisors to improve worker communication capacities

### **Organizational Culture & Diversity**

- Non-discrimination policies and practices, including recruitment
- Promotion of personal liberties of workers

### **Workers' Rights**

- Ensure fair working wage and other forms of compensation
- Fair working conditions/hours, including but not limited to rest periods, holidays, disciplinary and dismissal practices, maternity protection and welfare matters
- Compliance with local laws on age limits (upper and lower)

## **Evaluation Framework for CSR Innovation Award**

The CSR Innovation Award is presented to a company that is addressing complex social issues or needs in China by leveraging corporate resources in new and unique ways. The evaluation will be based on the company's 2010 and 2011 (January 2010-December 2011) performance, including any ongoing projects within mainland China. **Please review eligibility guidelines on page 12 before applying.**

The AmCham Shanghai CSR Awards Judging Panel will use the indicators/factors below as a guide only. Applicants are **not** obliged to address all indicators or factors. Applicants are encouraged to prepare submissions based on their particular areas of expertise OR overall performance capabilities. All evaluations and final decisions in terms of award recipients will be determined solely by AmCham Shanghai.

For this award, the judging panel will evaluate corporations' CSR innovation initiative using, but not limited to, the following standards:

- Innovative programming in fields such as social investment, social innovation, employee engagement, use of new media, CSR reporting, strategic philanthropic programs, product/service design, community outreach, environmental protection, poverty alleviation, public health, education, public-private partnerships
- The relation of the innovation project/program towards the corporation's values and business strategy
- The measurable results and impact of the program on society or environment (indicators include the improvement of effectiveness, efficiency and sustainability)
- Methodology and procedures
- The integration of the company's program with program partner(s)
- Tracking and measurement of objectives and results
- Future goals and objectives of the program
- Needs analysis, external stakeholder identification and level of engagement
- Reporting and the communication of the program progress and results

## **Evaluation Framework for Corporate Community Involvement Award**

The Corporate Community Involvement Award is presented to a company with outstanding corporate volunteer programs to honor overall employee volunteer effort, including community service projects, program policies and corporate vision that support those volunteer activities. The evaluation will be based on the company's 2010 and 2011 (January 2010-December 2011) performance, including any ongoing projects within mainland China. **Please review eligibility guidelines on page 12 before applying.**

Applicants are **not** obliged to address all indicators or factors. Applicants are encouraged to prepare submissions based on their particular areas of expertise OR overall performance capabilities.

The awards committee will look for evidence of the following:

- Incorporation of an employee volunteer program as a key contributor to the achievement of the corporation's business goals
- Implementation of a program that encourages employee contributions and addresses real social issues in the greater community
- Establishment of procedures that manage, track and evaluate the effectiveness of employee volunteer programs

Submissions will be evaluated using the following criteria:

### **1) Program Values and Structure**

- The volunteer program is part of the strategic commitment for the company's goals
- The volunteer program is supported by senior management
- The volunteer program is an integral part of internal and external communications plans
- Relevance to the employees' work life

### **2) Policies and Procedures**

- Motivation and incentives for employee participation
- Tracking and measurement of program participation and effectiveness
- Implementation of mechanisms for post-program evaluation

### **3) Impact**

- Addressed needs of the community
- Post-program evaluations and results

## **Evaluation Framework for CSR Partnership Award**

The CSR Partnership Award is presented to a company and an NGO that have exemplified success in working together to address an important social issue. The award will recognize a nominated business organization and its nonprofit partner. **Please review eligibility guidelines on page 12 before applying.**

The evaluation will be based on the company's 2010 and 2011 (January 2010-December 2011) performance, including any ongoing projects within mainland China. Applicants are **not** obliged to address all indicators or factors. Applicants are encouraged to prepare submissions based on their particular areas of expertise OR overall performance capabilities.

The awards committee will look for evidence of the following:

- Results and long-term outcomes of programs established by a business organization and its nonprofit partner
- Executive and employee support
- Sources of program funding
- Program administration: roles of each party, communication structures linking parties, lessons learned and any resulting changes in programs

Submissions will be evaluated using the following criteria:

- **Success of Project** – immediate results and long-term outcomes of the program for the project's beneficiaries, the corporation and the NGO
- **Success of Partnership** – the roles of each party, the communication structures connecting the two groups, any lessons that the parties have learned over the course of their partnership and any resulting changes in programming
- **The People Factor** – human connections between the corporation and the NGO will be evaluated. This includes: the engagement of employees at all levels with the NGO and its beneficiaries; the level of direct engagement vs. amount of financial support; how well the company leverages its human resources to create an optimal social impact; and how this contributes to the development of both parties

## **Evaluation Framework for CSR Practitioner Award**

The CSR Practitioner Award recognizes the individual who most effectively advances social responsibility in the workplace and builds ties between an enterprise, either large or small, and the community that it serves. **Please review eligibility guidelines on page 12 before applying.**

The award recipient must work with CSR programs either as a hands-on leader of the company's CSR efforts or one of its active team members. The award recipient is not required to hold the title "CSR practitioner" or come from a formal CSR department. The nominee should not come from senior executive management level, only from middle management or lower.

Applicants should demonstrate how their CSR practices are linked to their company's business focus, how they carry out these initiatives and must exhibit the qualities below.

### **Leadership**

- Provides guidance that successfully and continuously engages the company with its stakeholders
- Successfully advocates socially responsible policies and strategies that guide the company
- Supports individual employee career development and encourages employee welfare

### **Management**

- Executes programs with measurable results and develops internal evaluation methods
- Manages programs that can be sustained over time
- Educates employees on CSR and communicates its significance for the company

### **Initiative**

- Initiates sustainable programs that reduce the company's negative environmental and social impact
- Encourages the company to examine the social, economic and environmental effects of its business activities
- Demonstrates cooperative relationships with a range of stakeholders

### **Innovation**

- Designs creative programs that are aligned with the company's business focus
- Demonstrates success in establishing imaginative cooperation with non-profit organizations
- Has identified and encourages new ways to support employee volunteerism

# Awards Process:

## **Submission**

Nominations can be submitted by e-mailing the completed nomination form to [csrawards@amcham-shanghai.org](mailto:csrawards@amcham-shanghai.org). **Electronic submissions are strongly preferred** and should be in MS Word format sent via e-mail or on CD by carrier to the address located on page 13.

Applicants are encouraged to provide concrete statistics, valid success stories, clear policy statements, related organization charts, self-evaluations and authentic feedback from stakeholders.

The application materials must be provided in English.

## **Eligibility (very important)**

- For the CSR Leadership Award, nominees must be AmCham Shanghai member companies that have operations in mainland China.
- For the CSR Innovation Award and Corporate Community Involvement Award, these awards are open to all legally registered companies in China.
- For the CSR Partnership Award, corporate award nominees must be an AmCham Shanghai member and the non-profit partner must be a registered nonprofit charitable organization. The partnership and program must be carried out in mainland China.
- For the CSR Practitioner Award, the candidate must be an employee of an AmCham Shanghai member company.

A company, NGO or an individual may nominate themselves or be nominated by a third party. In the case of NGOs nominating corporate partners, the corporation to be nominated must be informed and an endorsement from that corporation will be required to ensure the accuracy of the information provided in the application. The nomination form enclosed should be completed and returned to AmCham Shanghai by **January 10, 2012**.

## **Selection Process**

The AmCham Shanghai CSR Award Judging Panel will review all applications and select the recipient of each award. If a nominee for an award has an employee on the panel, that panel member will be excluded from voting on an award for that nominee.

## **Presentation Materials**

Finalists will be notified no later than February 15, 2012 and may be asked to provide supplementary materials. All nominees are invited to the 7th Annual AmCham Shanghai CSR Awards Ceremony on February 28, 2012. Award winners will be announced at the event.

Selected application materials may be included in AmCham Shanghai CSR Publications.

## **About the AmCham Shanghai CSR Awards Judging Panel**

The CSR Awards Judging Panel is chaired by the person appointed by the president of AmCham Shanghai and will also include:

- The AmCham Shanghai ex-board chair/ ex-board member
- The AmCham Shanghai CSR Committee chair and vice chair
- External and independent third party reviewers from the government, academic, media, NGO and business communities

## **AmCham Shanghai CSR Awards Ceremony on February 28, 2012**

All nominees are cordially invited to our 7th Annual AmCham Shanghai CSR Awards Ceremony on February 28, 2012. Each finalist will receive one free ticket to the event.

## Nomination Instructions:

1. Download Nomination Kit and Nomination Form
2. Complete and submit a separate nomination form in each category for which the nominee chooses to apply
3. Companies may self-nominate or be nominated by a third party

Supplementary materials such as photos, annual reports and testimonials are optional and should be enclosed as attachments. Judges may request supplementary material during the judging process; even if material is not sent in advance, companies should be prepared for the possibility of such a request.

**Companies submitting materials authorize AmCham Shanghai to use these at both the CSR Awards Ceremony and in related publications and activities. Companies and applicants are responsible for the validity of information.**

### Nomination Checklist:

- Nomination Form
- Company Logo (600x600 dpi and EPS format)
- Supporting documentation (optional); photos; annual reports; video clips and presentations.
- Passport-size photo of the applicant for the CSR Practitioner Award (600x600dpi and JPG format)  
*This item is only required for those who apply for the CSR Practitioner Award.*

Please send your completed nomination form and supporting materials by **January 10, 2012** electronically (preferred) or on CD by carrier to:

**The American Chamber of Commerce in Shanghai  
Shanghai Centre, Suite 568, 1376 Nanjing Road West  
Shanghai China, 200040**

Fax: +8621 6279-7643

**E-mail: [csrawards@amcham-shanghai.org](mailto:csrawards@amcham-shanghai.org)**

For more information, please call Mr. Oliver Yang at 6279 7119 ext. 5272 or Mr. Ink Zheng at ext. 5654.

**For the most up-to-date information, please visit [www.amcham-shanghai.org/csrawards](http://www.amcham-shanghai.org/csrawards).**

Thank you for your nomination and good luck!