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## Communication on Progress

## UN Global Compact

### Chief Executive Statement of Support

We believe that positive and sustainable commercial outcomes only come from a properly joined-up understanding of our commitments to our people, our customers, our environment and the communities in which we work.

In light of this we are delighted to have deepened our partnership with the UN Global Compact.

Ten years into our UNGC membership we remain expressly committed to upholding the ten principles of the initiative, to which all companies can aspire. We continue to strive to embed these principles of sustainability and responsibility within our business practices. At Aviva, our purpose is to deliver prosperity and peace of mind for our customers and this can only be achieved by acting responsibly, sustainably and with integrity.

We are acutely aware of the network of interdependency that links us and our stakeholders. We recognise the responsibility of companies like Aviva to take a lead and support others in good governance, embedding and valuing sustainability and in contributing to the wider goals of the UN such as the MDG's. We were therefore delighted to join the Global Compact LEAD network and we welcome the challenge of implementing the Blueprint for Corporate Sustainability Leadership.

We have a long track record of publicly disclosing sustainability related information about our company. Aviva was the first company in the UK, and the first financial services group in the world, to present its CR report to a separate investor vote at its 2010 AGM - achieving a 99.7% positive response. This CR report and other publicly available information function as our UNGC Communication on Progress.

From our long-term carbon reduction targets to our Street to School program helping 500,000 street children and our advocacy of sustainable stock markets, we are playing our part in delivering prosperity and peace of mind, not just for our customers but for our wider stakeholders. We remain deeply committed to this task, to improving our own performance and helping others to do likewise. It's good for our business and good for all of us.

A handwritten signature in black ink, appearing to read "A Moss".

**Andrew Moss**  
Group Chief Executive

# Aviva plc

## 2011 UNGC Communication on Progress

### GC Advanced Level

This document provides information on our self assessment of compliance with the 24 advanced criteria for our annual communication on progress (COP). We have considered a criterion as met where at least one of the commonly accepted best practices suggested under each criterion has been met or where there are plans for its implementation.

The information is provided through hyperlinks that appear below the suggested best practice and that link to publicly disclosed information (i.e. Aviva's Annual report and accounts, Corporate Responsibility Report and website Aviva.com)

Aviva continues to strive to embed the ten UN Global Compact principles implementing these throughout the company and challenging ourselves to do more both within Aviva and through our influence as a sustainability leader.

### ***Strategy, Governance and Engagement***

**Criterion 1: The COP describes C-suite and Board level discussions of strategic aspects of Global Compact implementation**

*Suggested best practices:*

- Impact of broader sustainability trends on the long-term prospects and financial performance of the organisation  
[Corporate responsibility strategy](#)
- Major sustainability risks and opportunities in the near to medium term (3-5 years)  
[Corporate responsibility strategy](#)
- Social and environmental impact of the organization's activities  
[Accounting for sustainability](#)
- Overall strategy to manage sustainability impacts, risks and opportunities in the near to medium term (3-5 years)  
[Corporate responsibility strategy](#)
- Key performance indicators to measure progress  
[Key performance indicators](#)
- Major successes and failures during the reporting period  
[Performance summary](#)
- Other: Executive Board Corporate Responsibility Committee  
[Corporate responsibility report](#)

**Criterion 2: The COP describes effective decision-making processes and systems of governance for corporate sustainability**

*Suggested best practices:*

- Involvement and accountability of management (C-suite) in corporate sustainability strategy and implementation in line with Global Compact principles  
[Governance of corporate responsibility](#)  
[Corporate responsibility committee report](#)
- Corporate governance structure (Board of Directors or equivalent) and its role in oversight of corporate sustainability implementation in line with Global Compact principles  
[Corporate Governance-CR Committee](#)
- Evaluation and executive incentive structures promoting sustainability strategy in line with Global Compact principles  
[Executive remuneration](#)

**Criterion 3: The COP describes engagement with all important stakeholders**

*Suggested best practices:*

- List of stakeholder groups engaged by the organization  
[Global partnerships and engagements](#)  
[Our CR relationships](#)
- Process for stakeholder identification and engagement  
[Our stakeholder groups](#)
- Outcome of stakeholder involvement  
[Global partnerships and engagements](#)
- Process of incorporating stakeholder input into corporate strategy and business decision-making  
[Our stakeholder groups](#)

# Criteria for the GC Advanced Level

## ***UN Goals and Issues***

**Criterion 4: The COP describes actions taken in support of broader UN goals and issues**

*Suggested best practices:*

- Adoption or modification of business strategy and operating procedures to maximize contribution to UN goals and issues  
[Developing communities-Strategy](#)
- Development of products, services and business models that contribute to UN goals and issues  
[Products and services](#)
- Social investments and philanthropic contributions that tie in with the organisation's core competencies, operating context and sustainability strategy  
[Developing communities strategy, Street to School, education, life trauma, financial capability](#)
- Public advocacy on the importance of one or more UN goals and issues  
[Programme impacts \(National and international advocacy-working towards global goals\)](#)
- Partnership projects and collective actions in support of UN goals and issues  
[Global partnerships and engagements](#)

# Criteria for the GC Advanced Level

## ***Human Rights Implementation***

**Criterion 5: The COP describes robust commitments, strategies or policies in the area of human rights**

*Suggested best practices:*

- Reference to relevant international conventions and other international instruments (e.g., the Universal Declaration of Human Rights (UDHR))  
[Diversity and human rights](#)  
[Child rights](#)  
Note: Additionally, reference to the Convention on the Rights of the Child will appear in our Child Safeguarding Guidance in final quarter of 2011.
- Written company policy (e.g., in code of conduct) on human rights  
[CR policy](#)
- Allocation of responsibilities and accountability within the organisation  
[CR policy](#)
- Other: Human Rights are deeply embedded in our ISG  
[Vedanta case \(Aviva Investors\)](#)

**Criterion 6: The COP describes effective management systems to integrate the human rights principles**

*Suggested best practices:*

- Risk and impact assessments in the area of human rights  
[Attracting and retaining talent](#)
- Regular stakeholder consultations in the area of human rights  
[Our stakeholder groups](#)
- Internal awareness-raising and training on human rights for management and employees  
[Diversity and human Rights](#)
- Grievance mechanisms, communication channels and other procedures (e.g., whistleblower mechanisms) for reporting concerns or seeking advice  
[Right Call](#)  
[Web Reporting System](#)
- Inclusion of minimum human rights standards in contracts with suppliers and other relevant business partners  
[CR key indicators-Suppliers](#)  
[Suppliers](#)
- Audits or other steps to monitor and improve the human rights performance of companies in the supply chain  
[Supplier policy](#)

**Criterion 7: The COP describes effective *monitoring and evaluation mechanisms* of human rights integration**

*Suggested best practices:*

- System to track and measure performance based on standardized performance metrics  
[Your voice matters](#)
- Leadership review of monitoring and improvement results  
[Your voice matters](#)
- Process to deal with incidents  
[Right Call](#)

**Criterion 8: The COP contains *standardized performance indicators* (including GRI) on human rights**

*Suggested best practices:*

- Outcomes of risk and impact assessments  
[Key performance indicators-People](#)
- Outcomes of internal awareness-raising and training efforts  
[Employee participation](#)
- Outcomes of mechanisms for reporting concerns or seeking advice  
[Corporate responsibility 2010-Summary](#)
- Percentage of contracts with business partners guaranteeing minimum human rights standards  
[CR key indicators-Suppliers](#)
- Outcome of audits or other steps to monitor and improve performance in the supply chain  
[CR key indicators-Suppliers and people](#)

# Criteria for the GC Advanced Level

## ***Labour Principles Implementation***

**Criterion 9: The COP describes robust commitments, strategies or policies in the area of labour**

Suggested best practices:

- Reference to relevant international conventions and other international instruments (e.g., ILO Core Conventions)  
[Diversity](#)
- Written company policy (e.g., in code of conduct) on labour  
[CR policy-Our people](#)  
[Business ethics code](#)
- Allocation of responsibilities and accountability within the organisation  
[CR policy](#)  
[Supplier policy](#)

**Criterion 10: The COP describes effective management systems to integrate the labour principles**

Suggested best practices:

- Risk and impact assessments in the area of labour  
[Attracting and retaining talent](#)
- Regular stakeholder consultations in the area of labour  
[Employee promise survey](#)
- Internal awareness-raising and training on the labour principles for management and employees  
[Talent development](#)
- Grievance mechanisms, communication channels and other procedures (e.g., whistleblower mechanisms) for reporting concerns or seeking advice  
[Right Call](#)  
[Web Reporting System](#)
- Inclusion of minimum labour standards in contracts with suppliers and other relevant business partners  
[Suppliers \(Aviva.com\)](#)  
[Business Code of Behaviour](#)
- Audits or other steps to monitor and improve the labour performance of companies in the supply chain  
[Suppliers performance data](#)

**Criterion 11: The COP describes effective monitoring and evaluation mechanisms of labour principles integration**

Suggested best practices:

- System to track and measure performance based on standardized performance metrics  
[Your voice matters](#)  
[Key Performance Indicators-People](#)

- Leadership review of monitoring and improvement results  
[Your voice matters](#)
- Process to deal with incidents  
[Attracting and retaining talent](#)
- Disclosure of main incidents involving the company  
[Attracting and retaining talent](#)

**Criterion 12: The COP contains standardized performance indicators (including GRI) on labour principles integration**

Suggested best practices:

- Outcomes of risk and impact assessments  
[Key Performance Indicators-People](#)
- Outcomes of internal awareness-raising and training efforts  
[Employee participation](#)
- Outcomes of mechanisms for reporting concerns or seeking advice  
[Right Call](#)  
[Trust and integrity](#)
- Percentage of contracts with business partners guaranteeing minimum labour standards  
[CR Key Indicators-Suppliers](#)
- Outcome of audits or other steps to monitor and improve performance in the supply chain  
[CR Key Indicators-Suppliers](#)



# Criteria for the GC Advanced Level

## ***Environmental Stewardship Implementation***

**Criterion 13: The COP describes robust commitments, strategies or policies in the area of environmental stewardship**

Suggested best practices:

- Reference to relevant international conventions and other international instruments (e.g., [Rio Declaration on Environment and Development](#))  
[Our actions and commitments](#)  
[Climate change & environment-influence and concern](#)  
[Clickgreen.org.uk-news-UK-business-leaders-call-for-mandatory-carbon-reporting.html](#)
- Reflection on the relevance of environmental stewardship for the company  
[Climate change & environment-controlling our impacts](#)  
[Accounting for sustainability](#)
- Written company policy on environmental stewardship  
[Aviva Investors](#)  
[CR Report, Stewardship Approach, AI](#)
- Allocation of responsibilities and accountability within the organisation  
[Environmental policy](#)  
[Overview- Governance and risk](#)
- Specific commitments and goals for specified years  
[Key performance indicators](#)

**Criterion 14: The COP describes effective management systems to integrate the environmental principles**

Suggested best practices:

- Regular stakeholder consultations on environmental impact  
[Our stakeholder groups](#)  
[Climatewise principles-report 2010](#)
- Internal awareness-raising and training on environmental stewardship for management and employees  
[See employee section](#)  
[Environmental champions](#)
- Grievance mechanisms, communication channels and other procedures (e.g., whistleblower mechanisms) for reporting concerns or seeking advice regarding environmental impacts  
[Fighting financial crime](#)
- Inclusion of minimum environmental standards in contracts with suppliers and other relevant business partners  
[Sustainable supply chain](#)
- Audits or other steps to monitor and improve the environmental performance of companies in the supply chain  
[UK: Aviva extends appetite for environmental goods and services sector-News](#)

**Criterion 15: The COP describes effective monitoring and evaluation mechanisms for environmental stewardship**

Suggested best practices:

- System to track and measure performance based on standardized performance metrics  
[Performance data](#)
- Leadership review of monitoring and improvement results  
[Key performance indicators](#)  
[Overview-Chairman's statement](#)  
[Carbon reporting performance of the FSTE 100](#)
- Process to deal with incidents  
[CR and Environment policies](#)
- Disclosure of main incidents involving the company  
[Environmental incidents](#)

**Criterion 16: The COP contains standardized performance indicators (including GRI) on environmental stewardship**

Suggested best practices:

- Outcomes of risk and impact assessments and measurements of environmental footprint  
[Performance data](#)
- Outcomes of internal awareness-raising and training efforts  
[Performance data](#)  
[Environmental champions](#)
- Outcome of audits or other steps to monitor and improve performance in the supply chain  
[Key indicators](#)

# Criteria for the GC Advanced Level

## ***Anti-Corruption Implementation***

**Criterion 17: The COP describes robust commitments, strategies or policies in the area of anti-corruption**

Suggested best practices:

- Reflection on the relevance of anti-corruption for the company  
[Our approach-Business ethics](#)  
[Fighting financial crime](#)  
[CR Report-Business ethics](#)
- Written company policy on anti-corruption (e.g., in code of conduct)  
[Business ethics code](#)  
[Financial crime policy](#)
- Allocation of responsibilities and accountability regarding corruption within the organisation  
[Financial crime policy](#)
- Other, reference to relevant national laws against corruption  
[Business ethics](#)

**Criterion 18: The COP describes effective management systems to integrate the anti-corruption principle**

Suggested best practices:

- Risk and impact assessments in the area of anti-corruption  
**Note: We carry out financial crime risk assessments, but the results of these assessments are not published externally.**
- Regular stakeholder consultations in the area of anti-corruption  
[Aviva Membership of Association of British Insurers-See page 6](#)  
**Note: As part of our membership of the ABI, we are involved in the financial crime workshops regarding policies and legal consultations.**
- Internal awareness-raising and training on anti-corruption efforts for management and employees  
[Business ethics](#)
- Grievance mechanisms, communication channels and other procedures (e.g., whistleblower mechanisms) for reporting concerns or seeking advice on corruption  
[Right Call](#)  
[Web Reporting System](#)
- Inclusion of minimum anti-corruption standards in contracts with suppliers and other relevant business partners  
[Suppliers](#)
- Audits or other steps to monitor corruption and improve the performance of companies in the supply chain  
[Suppliers](#)

**Criterion 19: The COP describes effective monitoring and evaluation mechanisms for the integration of anti-corruption**

Suggested best practices:

- Leadership review of monitoring and improvement results  
[Financial crime policy](#)
- Process to deal with incidents  
[Right Call](#)  
[Web Reporting System](#)
- Disclosure of main incidents involving the company  
[Trust and integrity](#)

**Criterion 20: The COP contains standardized performance indicators (including GRI) on anti-corruption**

Suggested best practices:

- Outcomes of internal awareness-raising efforts and training for management and employees  
[KPI-Business ethics](#)
- Percentage of contracts with a minimum anti-corruption standard  
[Note: All contracts include minimum anti-corruption standards, however this is not reported externally.](#)

# Criteria for the GC Advanced Level

## ***Value Chain Implementation***

**Criterion 21: The COP describes implementation of the Global Compact principles in the value chain**

Suggested best practices:

- Description of raw materials and (semi-) finished products used, by country or region of origin  
[Climatewise principles-report 2010-Section 3 a-f](#)
- Description of key suppliers, subcontractors and other business partners involved in the value chain  
[Sustainable supply chain](#)
- Value chain risk assessment to identify potential issues with suppliers and other business partners  
[Sustainable motor insurance](#)
- Policy on value chain, including a policy for suppliers and subcontractors  
[Suppliers](#)
- Communication of relevant policies/codes, positions or concerns to suppliers and other business partners  
[Suppliers](#)
- Audits/screenings for compliance in the value chain  
[Suppliers](#)  
[Key performance indicators-Supplier tab](#)
- Allocation of responsibility in the value chain and procedures to remedy any non-compliance issues  
[Suppliers](#)

## ***Transparency and Verification***

**Criterion 22: The COP provides information on the company's profile and context of operation**

Suggested best practices:

- Legal structure, including any group structure and ownership  
[Aviva organisational structure](#)
- Countries where the organisation operates, with either major operations or operations that are specifically relevant to sustainability  
[Organisational structure](#)
- Markets served (including geographic breakdown, sectors served, and types of customers/beneficiaries)  
[Information on the company](#)
- Primary brands, products, and/or services  
[Information on the company](#)
- Direct and indirect economic value generated for various stakeholders (employees, owners, government, lenders, etc.)  
[Information on the company](#)

**Criterion 23: The COP incorporates high standards of transparency and disclosure**

Suggested best practices:

- COP includes comparison of key performance indicators for the previous 2-3 years  
[KPIs](#)

**Criterion 24: The COP is independently verified by a credible third party**

Suggested best practices:

- Independently verified against assurance standard (e.g., AA1000 Assurance Standard, ISAE 3000)  
[Independent assurance statement](#)
- Verified by independent auditors  
[Independent assurance statement](#)
- Other: Corporate Responsibility Annual Report is submitted to AGM  
[CR Report and AGM](#)