



**Sirota Consulting LLC**  
The Centre at Purchase  
Four Manhattanville Road  
Purchase, New York 10577

914 696-4700 (main)  
914 696-3401 (fax)  
[www.sirota.com](http://www.sirota.com)

May 18, 2015

### **Communication on Progress: Sirota Consulting LLC 2015**

Since September 2008, Sirota Consulting LLC has been a member of the United Nations Global Compact. Since we submitted our first Communication on Progress (COP), much of the work summarized in that report continues today within our company, as our employees' and managers' commitment to abide by the ten principles of the Global Compact are ongoing and strong.

We are attaching a Communication on Progress for 2015 which outlines the major new initiatives Sirota has undertaken since our report last year, as well as a complete report incorporating and updating all our ongoing activities related to human rights, labour, environmental and anti-corruption policies.

Sirota is proud to be a member of the Global Compact, and hereby reaffirms our ongoing commitment to this initiative and its principles.

Sincerely,

A handwritten signature in dark ink, appearing to read 'John Mallozzi', with a stylized flourish at the end.

John Mallozzi  
Chief Executive Officer

## **Summary of Sirota Activities for Global Compact Communication on Progress 2015 Updates**

**United Nations 59<sup>th</sup> Session of the Commission on the Status of Women (CSW)** – Participated with the Psychology Coalition of NGOs Accredited at the United Nations (PCUN) in submission of written statement in support of “Beijing+20: Empowering Women – Empowering Humanity:” “Psychological Contributions to the Full Realization of the Twelve Critical Areas of Concern of the Beijing Platform for Action,” New York City, USA, March 2015.

**United Nations 48<sup>th</sup> Session of the Commission on Population and Development (CPopD)** – Participated with the Psychology Coalition of NGOs Accredited at the United Nations (PCUN) in submission of written statement in support of “Realizing the Future We Want: Integrating Population Issues into Sustainable Development, Including the Post-2015 Development Agenda,” New York City, USA, April 2015.

**Statement on the One-Year Anniversary of the Abduction of the Nigerian Schoolgirls** – Participated with the Psychology Coalition of NGOs Accredited at the United Nations (PCUN) in submission of written statement in support of “Call to Action,” New York City, USA, April 2015.

**Society for Industrial and Organizational Psychology (SIOP) Annual Conference**, Symposium/Forum on “Decent Work, UN Sustainable Development Goals, and Humanitarian Work Psychology;” Presenter, “Decent Work and Entrepreneurship in UN Sustainable Development Goals,” Philadelphia, Pennsylvania, USA, April 2015.

**Global Organisation for Humanitarian Work Psychology (GOHWP)** – Executive Board member; continued work on expanding the network; focus on advocacy activities. (Pro bono)

**Eighth Annual Psychology Day at the United Nations** – Member, Planning Committee and Publicity Committee: “Reducing Health Inequalities Within and Among Countries: Psychology’s Contributions to the United Nations Post-2015 Global Agenda,” April 30, 2015, New York City, USA. (Pro bono)

**United Nations Psychology Coalition of NGOs Accredited at the United Nations (PCUN)** – Founding member of coordinated group of Psychology NGOs Accredited at the United Nations; member, Advocacy Committee and Publicity Committee; see United Nations Commissions above.

**International Association of Applied Psychology (IAAP)** – NGO Representative to the United Nations Economic and Social Council (ECOSOC); NGO member of PCUN (see above).

**Co-author of book chapter**, “A multi-disciplinary approach to solving global problems: The case of psychologists collaborating on a Girls Empowerment Programme in Africa.” In Walter Reichman (Ed.). *Industrial and Organizational Psychology Help the Vulnerable: Serving the Underserved*. Basingstoke, UK: Palgrave-Macmillan. 2014.



**Co-editor of book**, *"Humanitarian Work Psychology and the Global Development Agenda: Case Studies and Interventions."* London, UK: Psychology Press. (In progress)

**World Trade Centers Association (WTCA)**: Continued work on Service Quality Certification Program for over 100 WTCs around the world.

**Teatown Lake Reservation** (a nature preserve and ecology education center in Westchester County, New York): Board Member. (Pro bono)

**National Organization on Disability** – Since 2010, Sirota has partnered with NOD on a project to investigate the inequities in the workplace for those with physical as well as mental disabilities. In 2014, we renewed our joint research partnership agreement with NOD to continue our pro-bono work for the next several years. NOD had sought to brand and expand its information delivery on employment and workplace issues for people with disabilities, to increase the understanding of employment trends and gaps for people with disabilities within some of the nation's 'best' employers, and capture disability employment data from our existing client base to enhance NOD's knowledge on employment satisfaction and workplace trends for people with disabilities from a large cross-section of the nation's employers. Several press releases, communications and Webinars about our joint work have been released in the past year, including a joint Webinar given at the Annual Engagement Summit on September 19-20, 2012, in Washington, D.C. in association with The Partnership for Public Service (a nonprofit, nonpartisan organization that works to revitalize our federal government by inspiring a new generation to serve and by transforming the way government works): <https://nodevents.webex.com/ec0606l/eventcenter/recording/recordAction.do?theAction=poprecord&AT=pb&renewticket=0&isurlact=true&recordID=6565932&apiname=lsr.php&rKey=be4b558b8913d1b4&format=short&needFilter=false&&SP=EC&rID=6565932&siteurl=nodevents&actapname=ec0606l&actname=%2Feventcenter%2Fframe%2Fg.do&rnd=8508459427&entapname=url0108l&entactname=%2FnbrRecordingURL.do>.

Additionally, in 2014, our work with the NOD included a **pilot survey to develop and evaluate company disability programs**. Also, we are proud to have been named to be part of their CEO Council to help guide and direct the NOD's future ventures.

#### **Disabilities Employment Tracker, NOD**

With new regulations from the U.S. Department of Labor on the hiring of people with disabilities and veterans, companies are working to ensure that they are prepared. Sirota has partnered with the NOD to design "The Disability Employment Tracker". This program is designed for companies to confidentially assess their disability and veteran employment practices; benchmark their efforts against leading practices; and use results to educate internal stakeholders on successes and opportunities. **The Tracker** is an important new tool that will help companies across a range of industries assess their own readiness to launch or improve their hiring of people with disabilities and veterans.

#### **General Mills Ethical Culture Survey, Minneapolis, MN**

For the past 4 years, Sirota worked with General Mills to conduct a global Ethical Culture survey in support of the company's programs and efforts to assure that all employees understand and act according to the highest ethical standards. The survey assesses views on the overall ethical culture (e.g., leadership's commitment to



ethical business, consistency of actions with standards) ethics resources and support (e.g., training, Ethics Line, Law Department), and the perspective of those who sought advice or reported concerns. The feedback and follow-up process is geared to identifying any pockets of concern and where improvements in understanding ethics and compliance issues and resources are needed.

**Certificate of Environmental Accomplishment** – 2012-13 Award from ‘Shred-It’ to certify that Sirota Consulting participated in their shredding and recycling program making a positive impact on our environment by saving 22.43 trees from destruction in 2012.

In addition, Sirota has been **reducing the number of pages in our survey reports**. While reports are mainly distributed in electronic form, and we facilitate and encourage decision-making about taking action on-line, managers often print their reports which can add up to hundreds of thousands of pieces of paper being printed for large companies. As an example, one large client’s reports were reduced from 42 to 16 pages in 2012, while providing the same insights as the longer reports.

**Office Renovations:** During the first quarter of 2014, Sirota relocated and renovated its HQ office space in the US to again include 100% recycled carpet and ceiling tiles. Further, facilities in the pantry and throughout the space are to be fitted with energy and water-saving automatic faucets, soap dispensers and flushers, in addition to electricity-savings appliances.

**Leadership in Energy and Environmental Design (LEED):** Sirota has participated in an ongoing effort in conjunction with our landlord to achieve LEED certification for our office complex. LEED consists of a suite of rating systems for the design, construction and operation of high performance green buildings, homes and neighborhoods. Developed by the US Green Building Council (USGBC), LEED is intended to provide building owners and operators a concise framework for identifying and implementing practical and measurable green building design, construction, operations and maintenance solutions.

**Global Impact Related Survey Items (major clients 2010-2014)** - Following is a list of our clients’ survey items that directly capture employee experiences related to their company’s environmental/community responsibility and fair treatment. Also listed are items that tap physical safety and perceptions related to speaking up when there are problems/ethical concerns that closely relate to the 10 principles. Many of these items contribute to our normative database each year which provides benchmark measures on these important items for our clients and in our research:

<b>VARIOUS</b>	Do you have an apparent or non-apparent disability ( <b>NEW 2013</b> )
<b>FINANCIAL INSTITUTION</b>	Company X encourages diversity in our workforce; I am proud of the ways Company X contributes to the community In the past twelve months I participated in a Company X sponsored volunteer activity (e.g. financial literacy, building homes, mentoring, pro bono, etc.)? Compared to other companies I know about, I believe Company X is an environmentally responsible company My Leaders are committed to diversity
<b>WORLDWIDE</b>	Company X encourages diversity of our workforce



<b>HOTEL</b>	<p>I feel good about the ways we contribute to the community</p> <p>I am well informed about our sustainability efforts (i.e., LightStay, etc)</p> <p>I feel good about our sustainability efforts</p> <p>We are an environmentally responsible company</p> <p>My Leaders: Are committed to diversity</p> <p>Company X is a physically safe place to work (injury free, machines in good working order, etc.)</p>
<b>SOFTWARE PROVIDER</b>	<p>Company X demonstrates a commitment to being an environmentally responsible company.</p> <p>Company X takes a genuine interest in the welfare of the communities where we do business (good corporate citizen).</p> <p>[Manager Name] fosters an environment where diversity is valued.</p> <p>My work group has a climate in which diverse perspectives are valued.</p> <p>I am satisfied with my physical working conditions (facilities, work space, site amenities, etc).</p>
<b>RETAILER</b>	<p>Where I work people of diverse backgrounds can succeed</p> <p>It is important that Company X is an environmentally responsible company</p> <p>I am familiar with the efforts of Company X to protect the environment</p> <p>It is important that Company X is a socially responsible company</p> <p>I am familiar with the social responsibility efforts of Company X</p> <p>Where I work, there is an environment in which everyone is treated fairly regardless of race, nationality, gender (sex), religion, or other individual differences</p> <p>The person I report to creates an environment in which everyone is treated fairly</p> <p>I am confident that if I report an inappropriate business practice or an ethical issue something will be done about it</p> <p>My leaders (VP and above) encourage me to report important information to the appropriate people, even if it's bad news</p> <p>The person I report to seeks different opinions, ideas, and perspectives</p> <p>Company X provides effective processes for handling employee complaints and concerns</p> <p>I can express my point of view without fear of negative consequences</p>
<b>MANUFACTURING</b>	<p>I am treated with respect and dignity at work</p> <p>The person I report to treats me with respect and dignity</p> <p>Where I work people of diverse backgrounds can succeed</p> <p>Where I work, there is an environment in which everyone is treated fairly regardless of race, nationality, gender (sex), religion, or other individual differences</p> <p>The person I report to creates an environment in which everyone is treated fairly</p> <p>The person I report to seeks different opinions, ideas, and perspectives</p> <p>I can express my point of view without fear of negative consequences</p> <p>This Company provides effective processes for handling employee complaints and concerns</p> <p>I am confident that if I report an inappropriate business practice or an ethical issue something will be done about it</p>
<b>CONSULTING</b>	<p>The Practice Director(s) I work with shows a strong commitment to ethical business decisions and conduct.</p> <p>The Senior Director(s) that I work with shows a strong commitment to ethical business</p>

	<p>decisions and conduct</p> <p>At Company X, I can express my point of view without fear of negative consequences.</p>
<b>RETAIL</b>	<p>Company X has an environment where employees of diverse backgrounds can succeed</p> <p>Company X takes a genuine interest in the welfare of the communities in which it does business (is a good corporate citizen)</p> <p>I feel free to speak my mind without fear of negative consequences</p> <p>I can report concerns about unethical conduct/practices without fear of reprisal</p>
<b>UNIVERSITY</b>	<p>I am treated fairly at Company X without regard to my age, race/ethnic background, religion, gender, disabilities, or sexual orientation.</p>
<b>FINANCIAL INSTITUTION</b>	<p>This company has an environment where people of diverse backgrounds can succeed</p> <p>Where I work, it's safe to say what you think</p> <p>I am confident that if I report an inappropriate business practice or an ethical issue something will be done about it.</p>



## **PAST Communication on Progress: Sirota Survey Intelligence®**

### **2008-2014**

#### **a. Statement of Continued Support**

Sirota does not issue a formal Annual Report, therefore, we will commence by providing a statement of continued support for the Global Compact, and again renewing our ongoing commitment to the initiative and its principles, in the words of our CEO, John Mallozzi:

"Sirota Consulting (Sirota) is a New York-based international survey research and consulting firm which conducts employee satisfaction and other kinds of multi-constituency organizational surveys; based on these surveys, we provide feedback and consultation regarding improving the well-being of employees and other stakeholders, while enhancing the success of the organization.

Sirota's philosophy and methodology is drawn from the discipline of organizational psychology and successful management practices, and is congruent with the Ten Principles of the Global Compact. Ours is a partnership culture, both internally and in regard to our various stakeholders. It forms the basis of how we advise our clients; how we market our professional services; how we relate to our employees in our home office in the USA, our employees in the United Kingdom, and in our affiliate organizations around the world. Our client work includes an emphasis on the importance of adherence to basic human rights in order to ensure an engaged, committed work force. Research from our own archives shows that a high level of employee satisfaction goes hand in hand with greater financial success. The Ten Principles also underlie the way we partner with our vendors, the way we interact with the community at large, and our efforts to contribute to the effectiveness of the United Nations in its achievement of the Millennium Development Goals (MDGs).

Our range of surveys includes employee opinion/attitude surveys, ethics, accountability, and corporate social responsibility (CSR). Our definition of CSR is the equitable treatment of customers, employees, vendors, owners/investors, and the community: one group does not prosper at the expense of another group. Figure 1 displays our model. Our CSR surveys show organizations where they stand on a number of CSR measures, how they compare to other organizations, and advise them on how to improve their standing.

Sirota is a professional organization which prides itself on its thought leadership and research which we endeavor to actively disseminate to our colleagues in business and in psychology. To this end we have published presentations in newspapers, journals, on our web site and in professional conferences.

Sirota's admiration for the United Nations, the pre-eminent organization supporting Human Rights, has been demonstrated by our endorsement (through financing and time) of one of our senior employees (retired in 2013): Dr. Mary O'Neill Berry, an NGO representative to the United Nations Economic and Social Council (ECOSOC) from the International Association of Applied Psychology (IAAP).

Sirota is proud to be a member of the Global Compact, and hereby reaffirms our ongoing commitment to this initiative and its principles."

#### **b. Description of Actions**

This section addresses past activities and, if applicable, policies, which reflect Sirota's continued implementation of at least two of the four issue areas (human rights, labour, environment, anti-corruption) related to the principles.



## 1. Labour

- i. Sirota companies continue to comply with all relevant laws and regulations mandated by the relevant local authorities, including the Occupational Health & Safety Administration (OSHA) in the United States, and the Health & Safety Executive in the UK.
- ii. Each new employee receives briefing and training about office HSE programs within their first week, and are advised of Sirota's overall Health, Safety and Environmental protection programs. Sirota's HSE programs are reviewed on an annual basis and updated accordingly.
- iii. Sirota provides a safe working environment for employees. Regular fire drills and fire alarm testing procedures are conducted in all Sirota locations, and all office buildings are inspected regularly and adhere to all building and construction Codes.
- iv. Sirota has a strong interest in creating and maintaining benefit programs that improve and enhance the quality of life of all its employees and that help make Sirota an employer of choice. Benefits include healthcare coverage for applicable employees and their families, and supplemental programs for vision care, preventative care, dependent care programs, wellness and fitness programs, life and long-term disability programs. Sirota also contributes to the retirement pensions of US employees by matching 401(k) contributions.
- v. Sirota conducts an annual Employee Opinion Survey, which is an opportunity for all employees to make their views known in an unfiltered manner to all levels of management in the firm. This has been an effective means of upward communication for almost 17 years now, and the firm has a good record of addressing issues which surface in the survey results.
- vi. Sirota has a flexible workplace policy. Several employees work virtually from their homes in other states, or countries, besides our HQ state of New York, and many more work at home one or more days each week, at the discretion of their supervisor. Many employees work hours other than the traditional 9 to 5, again, at the discretion of their supervisors.
- vii. Sirota supports the annual "Take Your Child To Work" day.
- viii. Sirota provides an annual Employee Holiday Party, held off-site.
- ix. Although at times current economic conditions made it impossible (2008 and 2009), prior to that, Sirota awarded annual bonuses to all employees who merited them and Sirota was able to provide bonuses to employees in 2010, 2011, 2012 and again in 2013.
- x. Sirota is an equal opportunity employer, and numbers among its workforce not only African-American and Hispanic individuals, but also many nationalities, including British, Chinese, and Indian.

## 2. Environment

- i. Sirota has an appointed ECO officer and has convened a group of employees who meet as the "Green Team" or "Corporate Social Responsibility Team". They have been responsible for spearheading a company-wide effort regarding conservation of paper (encouraging paperless output and providing options to reduce paper usage such as toner recycling, double-sided paper use, etc.). Sirota also continues to practice reduced energy consumption by ensuring that employees turn off lights, computers and printers when not in use.



ii. This team also identified numerous tips for healthy living, which are regularly published in the firm's weekly online newsletter, and sponsored regular potluck lunches for all employees featuring healthy foods.

iii. Sirota renovated its office space in the US a few years ago to include 100% recycled carpet and ceiling tiles. Further, in 2010 facilities in the lavatories throughout the space were fitted with energy and water-saving automatic faucets, soap dispensers and flushers.

iv. Sirota has eliminated paper products (cups, paper towels, etc.) and replaced them with reusable products and energy-saving appliances.

v. Sirota employees are encouraged to support their local farming communities by participating in Community Supported Agriculture (CSA) programs.

vi. Sirota continues to contribute (on behalf of our clients in lieu of holiday cards) to "Trees for the Future", an organization that has, since 1989, helped communities around the world plant trees.

vii. Sirota's Corporate Social Responsibility/Community Service activities include, at times, the following:

- a. Encouraging employees to volunteer help and assistance to their own communities
- b. Collecting toys for needy children at holiday time
- c. Participating in the community Blood drive
- d. Sponsoring company-funded flu-shot clinics
- e. Donating to funds for catastrophic events (we received a Certificate of Recognition from Feed the Children for our contributions to the victims of Hurricane Katrina, and most recently have held a potluck luncheon and donated all proceeds to the victims of the earthquake in Haiti)
- f. Donating to employee-sponsored causes, e.g., breast cancer research and the USO
- g. Discounting work to not-for-profit organizations by 20%
- h. Conducting pro bono projects for not-for-profit organizations such as the United Nations Department of Public Information (DPI), Action Against Hunger – USA, the National Park Foundation, and the Institute for Social Research, University of Michigan, and, most recently, the National Organization on Disability (NOD)

### **3. Anti-Corruption**

i. One of Sirota's products is an Ethics Survey, which assesses the culture of integrity in an organization. In addition, most of our broad-based employee opinion surveys include items measuring employees' views of their own organization's performance on such critical areas as "being ethical in its business dealings."

ii. Sirota includes on its website prominent mention of the Global Compact and our support for its principles.



iii. Sirota passes the strictest global requirements regarding the protection of human subjects in our survey work, and the privacy of the information we gather. We continue to hold “Safe Harbor” status in the European Union (EU) and reaffirm our commitment to the EU principles annually.

#### **4. Partnerships**

i. Global Organisation for Humanitarian Work Psychology (GOHWP) – Member, Executive Board: Continued work on expanding the network; development of a Code of Ethical Behavior for GOHWP . (Pro bono); Seventh Annual Psychology Day at the United Nations – Member, Planning Committee and Publicity Committee: “Psychology’s Contributions to Sustainable Development: Challenges and Solutions for the Global Agenda,” April 24, 2014, New York City, USA. (Pro bono); International Association of Applied Psychology (IAAP) – NGO Representative to the United Nations; continued work on the Lesotho Project: Girls’ Empowerment Programme.

iii. Founding member of the Psychology Coalition at the United Nations (PCUN), a group of NGOs accredited to the United Nations, all of which are psychological in nature.

iii. Several Sirota staff have attended Global Compact meetings in New York and Boston. Most recently we attended the helpful webinar given by the Global Compact Network USA on June 11, 2013 to review the COP’s purpose, components, requirements and options to improve our reporting initiatives.

x. Several Sirota staff have attended conferences organized by the Corporate Responsibility Officer (CRO).

xi. Sirota has established a network of affiliates around the world, who assist in securing and implementing client projects.

#### **c. Measurement of Outcomes**

##### **1. Labour.**

- a. Executive Summary of Sirota Employee Survey:  
Sirota fully believes in “practicing what we preach” and we survey our employees on an annual basis, using a customized version of the survey items we provide to our clients. The Sirota internal survey results are substantially above the benchmark for engagement. We disaggregate the company data to team leaders and insist on extensive review and action plans at the team level. The Management Committee regularly reviews progress on these plans and conducts ‘pulse’ surveys when necessary to check actual progress. Our philosophy is to continuously strive to improve the results.
- b. Sirota’s most recent filing of its EEOC Certificate of Compliance was July, 2013.

##### **2. Environment.**

- a. Samples of suggestions for conservation efforts included in weekly online newsletter “This Week At Sirota”:
  - i. Use cloth...Everything. Convert to cloth napkins and rags instead of disposable napkins and paper towels. And if you have to use disposable paper products, like toilet paper, there are “green” brands that offer more environmental products.



- ii. Sign up for Electronic Bank Statements and E-bills: A great way to avoid wasting paper
- iii. Teach your kids to love and respect the earth. Good habits start now and the best way to perpetuate environmentalism, is to start teaching your kids to make environmentally-friendly choices at an early age.
- iv. Hang Your Clothes Out To Dry. Hanging your clothes out to dry is less abrasive for your clothes (so you have to replace them less often) and also saves on costly electric bills.
- v. Green your sunscreen
- b. Certificate of Recognition presented by "Feed The Children" for emergency relief following Hurricane Katrina: 2005
- c. Donation of proceeds (with match from Company) from employee "Hearts for Haiti" luncheon: 2010
- d. Samples of healthy potluck lunch dishes shared with Sirota Staff:
  - i. Summer Cobb Salad
  - ii. Fat-free Yogurt and Granola parfait
  - iii. 7 layer bean dip and whole grain pita chips
  - iv. Vegetarian lasagne
  - v. Fresh fruit and vegetables
  - vi. Veggie and Fruit Smoothies

### 3. CSR

- a. Examples of Sirota CSR Survey Items:
  - i. Rate XYZ on having a genuine interest in the well-being of its employees
  - ii. Rate XYZ on taking a genuine interest in the welfare of the community in which it does business (being a good "corporate citizen").
  - iii. Rate XYZ on having a genuine concern about protecting the environment.
  - iv. Rate your awareness of/familiarity with XYZ's various CSR programs/activities.
  - v. Rate the effectiveness of XYZ's various CSR programs/activities.
- b. CSR Grid (see below).
- c. CSR Project: Montefiore Medical Center 2009 Sustainability Survey
- d. Past Attendance at Global Compact-related Meetings:
  - i. UN Global Compact US Network Meeting: "Water in the 21<sup>st</sup> Century: Managing the Business Risks and Opportunities;" 3 November 2008, New York City.
  - ii. UN Global Compact US Network Meeting: "Business and Human Rights;" 28 April 2008, Boston, MA.
- e. Past Attendance at CSR-Related Meetings:
  - i. Corporate Responsibility Officer (CRO) Conference, 10 May 2007, New York City.
  - ii. CRO Conference, 12 September 2007, Chicago, IL.



- f. Past Presentations on CSR:
  - i. CRO Conference, 26 March 2008, New York City: "Attitudes of Corporate Responsibility Practitioners and Providers" – Joint Sirota/CRO research – presented by Doug Klein, President, Sirota Survey Intelligence.
  - ii. CRO Conference, 18 June 2008, San Francisco: "Top 10 Trends in CSR," presented by Doug Klein, President, Sirota Survey Intelligence.
  - iii. Australian Psychological Association Conference, 26 June 2009, Sydney, Australia: "Business Sustainability as a Function of Corporate Social Responsibility," Poster Session presented by Walter Reichman, Vice President, Sirota Survey Intelligence.
- g. Past Press Releases on CSR:
  - i. "Workers Satisfied with Company's Social Responsibility Are More Engaged and Positive, Study Shows," 2 May 2007
  - ii. "Corporate Social Responsibility Contributes to Bottom Line, Improves Worker Engagement and Customer Loyalty, Says Sirota Survey," 18 June 2007
  - iii. "Workers' Perceptions of Companies' Environmental Policies is Key Factor in Employee Engagement," 5 September 2007
  - iv. "Corporate Social Responsibility in Uncertain Times Requires Reaching Out to Many Affected Groups," 29 October 2007
  - v. "New Study Finds Big Differences in Perceptions of the Success of Corporate Responsibility Efforts," 22 April 2008
- h. Publication: "A Field Guide to Corporate Social Responsibility," Michael I. Meltzer, CEO of Sirota, ACC Docket, April 2008

#### 4. Anti-Corruption.

- a. Examples of Items from Sirota's Ethics Survey:
  - i. Rate XYZ on being ethical in its business dealings.
  - ii. XYZ has created an environment which provides protection against unlawful harassment and discrimination.
  - iii. I can report financial irregularities without fear of reprisal.
  - iv. The leaders of XYZ show strong commitment to ethical business decisions and conduct.
  - v. The people I work with act with integrity.
- b. Presentation on Ethics: "Directors as Guardians of Compliance and Ethics within the Corporate Citadel: What the Policy Community Should Know" made by Michael I. Meltzer, CEO of Sirota, to the RAND Center for Corporate Ethics and Governance, Washington, DC, 12 May 2010. Abstract: A discussion about the role of corporate directors and their oversight responsibility for ethics and compliance matters. The paper draws upon recent survey data which suggests that prevailing practices such as board reliance upon corporate counsel as the primary source of information and insight on matters of ethics and compliance may not be adequate in the face of greater expectations for corporate accountability.



- c. Presentation on Ethics: "Leadership's Commitment to Ethical Business; Consistency of Actions with Standards" made by Dr. John Sherman, VP of Sirota, to General Mills leadership, Minnesota, 1 August 2010. Sirota conducted General Mills' annual global Ethical Culture survey in support of the company's programs and efforts to assure that all employees understand and act according to the highest ethical standards. The survey assesses views on the overall ethical culture (e.g., leadership's commitment to ethical business, consistency of actions with standards) ethics resources and support (e.g., training, Ethics Line, Law Department), and the perspective of those who sought advice or reported concerns. The feedback and follow-up process is geared to identifying any pockets of concern and where improvements in understanding ethics and compliance issues and resources are needed.
- d. Presentation: "Assessing and Shaping a Culture of Ethical Conduct" made by Michael I. Meltzer, CEO of Sirota, to ACCGNY, New York City, 14 April 2009
- c. Newspaper Article: "Where Businesses Fall Short," by Michael I. Meltzer, CEO of Sirota, The Philadelphia Inquirer, 14 October 2008.

## 5. Human Rights.

- a. Examples of Sirota Survey Items with Human Rights Connotations:
  - i. Rate the extent to which management treats employees with respect and dignity.
  - ii. How do you feel about the amount XYZ has done to provide opportunities for women/for minorities?
  - iii. Where I work, reasonable accommodations are made for persons with disabilities.
  - iv. My manager/supervisor is sensitive to the need for balance between my work life and my personal life.
  - v. Employees where I work can usually get a fair hearing for their complaints.
- b. Presentation: "Assessing and Shaping a Culture of Corporate Responsibility" made by Michael I. Meltzer, CEO of Sirota, to Business Leaders Initiative on Human Rights, Stockholm, Sweden, 19 June 2008
- c. Co-presenter (Dr. M. Berry) at Executive Board Presentation, SIOP, April 2010, with Stuart C. Carr, Co-Chair: "The Global Task Force for Humanitarian Work Psychology."
- d. Co-Chair, Global Task Force for Humanitarian Work Psychology: Contributed to the online global civil society consultation for the MDG+10 Summit (Theme 3: Proposals to Accelerate Progress). The executive summary of the consultation report was distributed as a conference room paper to all UN Member States who attended the Informal Interactive Hearings of the UN General Assembly with representatives of non-governmental organizations, civil society and the private sector, on June 14-15 in New York. The full report is available on: [www.un-ngls.org/mdgconsultation](http://www.un-ngls.org/mdgconsultation)
- e. Nominated for Roundtable participation at MDG+10 Summit Meeting, September 20-22, 2010 (Roundtable 1: Addressing the challenge of poverty, hunger and gender equality; Roundtable 4: Addressing emerging issues and evolving approaches; Roundtable 6: Widening and strengthening partnerships.)



f.Publication: Berry, Mary O'Neill, Reichman, W., MacLachlan, M., Klobas, J., Hui, H., and Carr, S.C. "Humanitarian Work Psychology: The Contributions of Organizational Psychology to Poverty Reduction," Journal of Economic Psychology, 2010.

## 6. Partnerships.

a. The Lesotho Project (pro-bono): Assisted in the development and evaluation of a Girls' Empowerment Programme in Lesotho, Southern Africa; involved the coordination of multiple stakeholders (NGO and Government) in the design and support of the Programme; attendees were female school dropouts; focus was on HIV/AIDS prevention and risk reduction, along with income-generating activities; a follow-up training workshop ended with the opportunity to be voluntarily tested for HIV/AIDS – the vast majority of workshop attendees elected to be tested. Future similar Camps are in the planning stages.

A summary of the Project is posted by the UN Foundation and Better World Campaign on UN Wire, July 7, 2010: [www.smartbrief.com](http://www.smartbrief.com)

An article about the Camp appeared on PR Newswire: [www.prnewswire.com/news-releases](http://www.prnewswire.com/news-releases)

b. Psychology Day at the United Nations, 2011:  
Co-Chair of the Planning Committee and Chair of the Program Committee for this event.

c. International Association of Applied Psychology (IAAP): Dr. Mary Berry continuing as NGO Representative to the United Nations for this professional association.

d. World Trade Centers Association (WTCA) (a Not-for-Profit Organization): Continued expansion of the Service Quality Certification Program for the Committee on Quality and Standards, originally developed by Sirota in the mid-90's; currently over 100 World Trade Centers have been certified in up to eight service categories: Trade Information Services, Business Services, Trade Education Services, WTC Club, Tenant Services, Conference Facilities and Services, Display and Exhibit Services, and Group Trade Missions (Inbound and Outbound). The Self-Assessment Guidelines, on which the certification is based, are periodically revised and updated. Training workshops on the certification process are regularly delivered.

Figure 1:  
CSR GRID:

Measurement Dimension	Main Themes	Notes	Level 1 - Baseline	Level 2 - Maturing
Activity in CSR	Integration of CSR in Business		There are few if any CSR activities underway. Decisions about CSR activities are made separately from other business decisions.	CSR activities are among those important to the organization but are decided upon and handled in ways distinct from the major business operations.



Activity in CSR	Extent of CSR Activities in Organization		CSR activities are non-existent or limited to one or two and/ or are of a short duration	The organization is involved in a limited number of CSR activities above those that are purely philanthropic.
Compliance	Communication/Awareness of compliance		There is little to no communication about legal and ethical practices.	Descriptions of relevant legal and ethical practices and focus points are distributed at least once, and then again each time they change.
Compliance	Degree of compliance efforts		Legal and ethical operations are outlined in handbooks and other documents, but training is not provided except in special cases.	Training on legal and ethical behavior is part of the standard on-boarding and the professional development process. (There is no formal system of accountability for employees)
Economic Performance - CSR Alignment	Company Performance & Evaluation	Level 2- should we include CSR linked to initial company eval	CSR accomplishments are not counted among the assets of the company. They are considered secondary to core business operations and are perceived as adding little to the financial value to the company.	CSR activities are included in the discussions about the overall standing of the company in the community. (CSR activities receive minimal or no weight when evaluating the success of the organization)
Economic Performance - CSR Alignment	Acknowledgement of Contribution		CSR activities are not seen as contributing to the success of the organization.	The potential for CSR activities to contribute to organizational success is acknowledged within the company.
Economic Performance - CSR Alignment	CSR Focus	Measurement DIM correct? Scope of CSR?	The CSR focus of the organization is primarily philanthropic.	The CSR focus of the organization is extended to include local activities or partnership with an established national philanthropic endeavor.
Economic Performance - Innovation	Development of Products and Services		CSR is not considered when developing company products and services.	CSR is acknowledged when developing products and services.



Environmental Performance - CSR Alignment	Environmental Consideration		Consideration of environmental impact is limited to activities such as recycling and energy efficiency in organizational practices.	Environmental impact beyond internal practices is considered when planning organizational operations (i.e., environmental footprint, pollution, etc.).
Environmental Performance - Innovation	Risk Taking Behavior		The organization does not encourage stakeholder groups to take risks to find ways of operating that reduce negative effects on the environment.	The organization encourages stakeholder groups to take risks to find ways of operating that reduce negative effects on the environment.
Leadership Excellence - Values	Integration with mission, statement, and goals		CSR is not included in the organization's formal statements of mission, values, and goals presented to stakeholders.	CSR is broadly addressed in the organization's mission, values, and goals presented to stakeholders.
Leadership Excellence - Values	Civility, Trust, and Respect for Human Rights		Civility, trust, and respect for human rights is a value of the organization but not actively promoted within organizational activities.	Civility, trust, and respect for human rights is a value and is actively promoted within organizational activities such as special programs.
Measurement - Audit	Incorporation into the Business		Financial and human resource expenditures in CSR activities are not assessed in terms of ROI.	Some financial and human resource expenditures in CSR activities are assessed in terms of ROI.
Measurement - Survey	Opinion Survey		Opinions regarding the organization's CSR activities and overall reputation are not assessed formally or informally.	Opinions regarding the organization's CSR activities and overall reputation are assessed, but informally or from a nonrepresentative sample.

Process Excellence - Communication (Outward)			CSR results are either not reported or are reported informally to shareholders, financiers, or the Board of Directors.	CSR results are reported to shareholders, financiers, and the Board of Directors through the annual report, most often among philanthropic activities distinct from business activities.
Process Excellence - Onboarding	Onboarding		The importance of CSR is not communicated to new employees in onboarding or other socialization processes.	The importance of CSR is communicated to new employees during onboarding procedures.
Process Excellence - Organizational Design	Formal Presence within Organization		CSR responsibilities are carried out as an additional duty of an individual and is not formally represented in his or her job description.	CSR is a formal responsibility specified in an individual's job description.
Process Excellence - Recognition & Rewards	Rewards & Recognition	Level 3 criteria to high?	Little or no rewards are given for employee contributions that enhance an organization's CSR performance.	Employee contributions that enhance an organization's CSR performance are both encouraged and recognized.
Social Performance - Innovation	Customer Incentives		The organization does not explicitly encourage or provide incentives to customers for participation in environmental or social responsibility activities.	The organization encourages customers to participate in environmental or social responsibility activities through advertisements and campaigns.
Social Performance - Treatment of Stakeholders	Equitable Treatment	Review Level 2	Ensuring equitable treatment of stakeholders is not an explicit part of strategic planning.	The equitable treatment of stakeholders is taken into consideration in strategic planning but not necessarily followed.
Process Excellence - Communication (Horizontal)	Interaction with Suppliers		Suppliers' CSR activities are not considered in business	Suppliers are made aware of the organization's CSR



			dealings.	standards and activities.
Social Performance - Treatment of Stakeholders	Treatment of foreign subsidiaries		There is little knowledge and no involvement with the manner in which employees in foreign subsidiaries are treated.	There is a concern for employees in foreign subsidiaries but the local culture is the major determinant of equitable treatment.

## LIST OF THE GLOBAL COMPACT PRINCIPLES

### Human Rights

1. Businesses should support and respect the protection of internationally proclaimed human rights, and
2. Make sure that they are not complicit in human rights abuses.

### Labour

3. Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining,
4. the elimination of all forms of forced and compulsory labour,
5. the effective abolition of child labour, and
6. The elimination of discrimination in respect of employment and occupation.

### Environment

7. Businesses should support a precautionary approach to environmental challenges,
8. undertake initiatives to promote greater environmental responsibility, and
9. Encourage the development and diffusion of environmentally friendly technologies.

### Anti-Corruption

10. Business should work against corruption in all its forms, including extortion and bribery.