

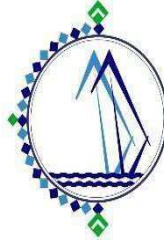


दीनदयाल पत्तन प्राधिकरण

DEENDAYAL PORT AUTHORITY

(Ministry of Ports, Shipping & Waterways, Govt. of India)

An ISO 9001: 2015 & ISO 14001: 2015 Certified Port



DEENDAYAL PORT AUTHORITY

CSR POLICY -2022

1. **PREAMBLE:**

As per the clause no. 71 of Major Port Authority Act 2021, "Corporate Social Responsibility" means the activities, to be undertaken by the concerned Major Port, as referred to in sub-section (1) and section 135 of the Companies Act, 2013.

In exercise of the powers conferred by clause (r) of sub-section (2) of section 71 of the Major Port Authorities Act, 2021 (1 of 2021), the Central Government has framed the Major Port Authorities (Corporate Social Responsibility) Rules, 2021 (1 of 2021).

DPA has developed this Corporate Social Responsibility (CSR) Policy as per the CSR rules and guidelines issued by MoPSW.

2. **Definitions.** — (1) In these rules, unless the context otherwise requires, -

- (a) "Act" means the Major Port Authorities Act, 2021 (1 of 2021);
- (b) "Corporate Social Responsibility" means and includes but is not limited to: -
 - (i) projects or programs relating to activities specified in section 70 of the Act;
 - (ii) projects or programs relating to activities as specified in the Corporate Social Responsibility guidelines issued by the Central Government from time to time;
- (c) "Corporate Social Responsibility Committee" means the Corporate Social Responsibility Committee constituted by the Major Port;
- (d) "Corporate Social Responsibility Guidelines" means the guidelines on Corporate Social Responsibility for major ports that may be issued the Central Government from time to time;
- (e) "Corporate Social Responsibility Plan" means the plan listing the activities to be undertaken by the Major Port and the expenditure thereon, excluding activities undertaken in pursuance of normal course of business of the said Major Port.

(2) Words and expressions used and not defined in these rules but defined in the Act, shall have the same meanings respectively assigned to them in the Act.

3. **VISION:**

DPA commits itself to contribute to the society, discharging its corporate social responsibilities through initiatives that have positive impact on society at large, especially the community in the neighborhood of its operations by improving the quality of life of the people, promoting inclusive growth and environmental

sustainability.

4. MISSION:

To sincerely & effectively discharge Port's responsibility in the identified CSR thrust Areas and other areas listed out in this policy.

5. OBJECTIVES:

- a. To promote overall development of the society
- b. To contribute towards promotion of education and social health of society in large.
- c. To minimize environmental pollution in the area (whether air, soil, water, sound, etc)
- d. To be cautious towards maintaining an ecological balance.
- e. To carry on business with moral and ethical standards.

6. STRATEGY:

The thrust of the CSR will clearly be on empowerment of communities, inclusive socio-economic growth, environment protection, promotion of green and energy efficient technologies, development of backward regions and upliftment of the marginalized and under-privileged sections of the society.

- 7. Corporate Social Responsibility Committee.** - (1) Deendayal Port Authority fulfills the eligibility criteria as set forth in the Corporate Social Responsibility guidelines, therefore Board of DPA shall constitute a Corporate Social Responsibility Committee in such manner and consisting of such persons as specified in the said guidelines:

CSR Committee:

For the purpose of planning and implementing CSR projects, a Corporate Social Responsibility Committee shall be constituted. The Committee shall be headed by the Dy. Chairperson and shall have two other Members, viz., one member of the Board and one HOD (as nominated by the Chairperson). This Committee shall discharge the functions enumerated in Rule 5 of the Major Port Authorities (Corporate Social Responsibility) Rules, 2021 notified on 22 November 2021."

(2) Every member of the Corporate Social Responsibility Committee who is in any way, whether by himself or through any of his relatives or firm, body corporate or other association of individuals in which he or any of his relatives is a partner, director or a member, concerned or interested in any Corporate Social Responsibility project, program or activity recommended or to be recommended in the Corporate Social Responsibility Plan shall disclose the nature of his concern or interest at the meeting of the Corporate Social Responsibility committee, in which

such Corporate Social Responsibility project, program or activity is discussed or considered and shall also not participate in such meeting when the agenda relating to such project, program or activity is discussed:

Provided that where any member who is not so concerned or interested at the time of recommending such Corporate Social Responsibility project, program or activity in the Corporate Social Responsibility Plan, he shall, if he becomes concerned or interested after the Corporate Social Responsibility project, program or activity is recommended, disclose his concern or interest forthwith when he becomes concerned or interested or at the first meeting of the Corporate Social Responsibility committee held after he becomes so concerned or interested.

8. Corporate Social Responsibility budget and allocation. - The Board of Deendayal Port Authority at the beginning of each financial year, create a Corporate Social Responsibility budget and allocate funds to the Corporate Social Responsibility projects, programs or activities in such manner and to such extent as may be specified in the Corporate Social Responsibility guidelines.

- i. CSR Budget will be created through Board resolution as a percentage of net profit in the following manner;

Financial position of the Port Net Profit (Previous Financial Year)	Expenditure range of CSR in a Financial Year (% of Profit)
a. Less than Rs.100Crores	3% - 5%
b. Rs.100Crores to Rs.500Crores	2% - 3% Subject to minimum of Rs.3Crores
c. Rs.500Crores and above	0.5% to 2%

- ii. At the beginning of each financial year, CSR Committee shall submit all CSR activities / proposals that are planned to be undertaken by the port in the financial year after due approval of the Board.
- iii. Every endeavour shall be made to spend the entire yearly budget on CSR activities in that year itself.
- iv. The CSR budget should be fixed for each financial year. This funding will not lapse. It will be transferred to CSR fund, which will accumulate and not lapse.
- v. The expenditure incurred in the formation and operation of DPA CSR Cell will be accounted to the CSR fund.

9. Functions of Corporate Social Responsibility Committee. - **The Corporate Social Responsibility Committee shall, -**

- (a) formulate and recommend to the Board, a Corporate Social Responsibility Plan (proposals) which shall be in accordance with these rules;

- (b) Recommend to the Board the amount of expenditure to be incurred on the activities included in the Corporate Social Responsibility Plan;
- (c) Periodically monitor the Corporate Social Responsibility activities; and
- (d) perform such other functions as may be specified in the Corporate Social Responsibility guidelines.

10. Corporate Social Responsibility Plan. - (1) The Corporate Social Responsibility Plan shall, inter-alia, include the following, namely: -

- (a) A list of Corporate Social Responsibility projects, programs or activities which a Major Port plans to undertake; and
- (b) monitoring process for such projects or programs:

Provided that the Corporate Social Responsibility Plan shall not include the activities undertaken in pursuance of normal course of business of a Major Port.

(2) The Corporate Social Responsibility Plan shall specify that the surplus arising out of the Corporate Social Responsibility projects, programs or activities shall not form part of the business profit of the Major Port.

11. Meetings of Corporate Social Responsibility Committee. –

- (1) The Corporate Social Responsibility Committee shall hold such number of meetings every year as it may deem fit to perform its functions under these rules.
- (2) The participation of members in a Corporate Social Responsibility Committee meeting may be either in person or through video conferencing or other audio visual means, which are capable of recording and recognising the participation of the members and of recording and storing the proceedings of such meetings along with date and time.

12. Corporate Social Responsibility planning, implementation, funding, monitoring and reporting. - The Board of DPA shall follow the procedure for planning, implementation, funding, monitoring and reporting of Corporate Social Responsibility projects, programs or activities in accordance with the Corporate Social Responsibility guidelines.

13. CSR Cell: CSR cell will be headed by officer not less than the rank of Executive Engineer. In order to assist the officer for monitoring and coordinating activities, CSR cell will have other 3-4 DPA employees and at least two personnel to be engaged on contract basis (DPA retired employees may be engaged).

14. SCOPE OF CSR ACTIVITIES:

- i. The allocated CSR fund should be earmarked in the following manner, unless

instructed otherwise by the Ministry.

- A. **30%** of the funds Should be allocated to the following:
1. Sainik Kalyan Board at the District level.
 2. National Maritime Heritage Complex, Lothal , Gujarat (NMHC).
 3. Indian Ports Association (IPA).
 4. National Maritime Complex (NMC).
- B. 68% funds shall be released for t h e social & environmental welfare of the community as per the guidelines forwarded/issued by MoPSW from time to time.

The following are the thrust areas of activities under DPA CSR;

1. Drinking water.
 2. Education and Imparting Vocational training.
 3. Setting up of skill development centers, imparting skill training, Entrepreneurship Development programme and Placement assistance programme for youth.
 4. Electricity, Non-conventional & renewable energy sources.
 5. Health and Family Welfare.
 6. Promotion of livelihood for economically weaker sections through forward and backwards linkages.
 7. Disaster Management including Relief to victims of Natural Calamities, like earthquake, cyclone, drought & flood etc. in any part of the country.
 8. Community Centers/Night Shelters/Old Age Homes.
 9. Basic infrastructure in villages through adoption.
 10. Construction and / or operation of Hostels (especially those for SC/ST and girls).
 11. Pollution control measures, environment friendly technologies, preservation / restoration of environment / ecology and for sustainable development goals.
 12. Sanitation and Public Health Action suggested by Ministry of Environment, Forest and Climate Change pertaining to Charter of Corporate Responsibility for Environment protection for 17 categories of Industry.
 13. Waste recycling in civil construction or other public use, STP, oil pollution.
 14. Activities/projects related to removal of plastic from marine ecology.
 15. Use of the materials taken out of the dredging activities for public good.
 16. Promotion of Art and Culture.
 17. Promotion of Sports and Games.
- C. Remaining 2% of the CSR fund shall be earmarked for monitoring of the DPA CSR activities.
- ii. In line with the Ministry of Corporate Affairs (MCA) Circular No.21/2014 dated 18.06.2014, one off events such as marathons/awards/charitable contributions/advertisements/sponsorship of TV programs/events involving celebrities, specifically for entertainment purposes, etc. would not qualify as CSR activities.

15. GEOGRAPHICAL COVERAGE:

CSR projects, programs or activities may be undertaken primarily within the State in which Port is located. Nevertheless, in exceptional and justified cases, the Port may extend its support to projects outside the State.

16. PLANNING (PROCEDURE FOR IDENTIFYING OF PROJECTS):

- i. Identification of CSR projects/ activities will be done by any one or combination of the following;
 1. In-house planned projects.
 2. Proposals from District administration/local Govt. body/public representatives etc.
 3. (i) Proposal or request from a registered Implementing partner (IP) / NGOs/ specialized agencies/ trusts/ institutions/ foundations/ societies/ bodies/ Gram Panchayat/Anganwadi Kendra/Sarpanch/Gram Sabha etc. for providing financial assistance for carrying out specific CSR initiative subject to the condition it fulfills the prescribed criteria. Such proposals should be considered only after checking the credibility of the associated agency and the quality of its job as per the following procedure.
 - a. Evaluation of necessary documents.
 - b. Site visits shall be made by CSR Cell representative(s). It should be clearly mentioned in the proposal that whether similar projects have earlier been carried out by the IP / NGOs etc. The proposals shall be sent to the CSR Committee for its recommendation to the Board.
 - c. If similar projects have been/are being carried out by the IP / NGOs etc at other location(s), the CSR Cell representative(s) should visit such site.
 - d. If similar projects have not been carried out by the agency earlier, then the work done by the agency in the past shall be assessed by visiting any other appropriate project carried out by the IP / NGOs etc.
- ii. All efforts should be made at the beginning of the financial year to allocate the funds and identify the activities / projects to be undertaken under CSR in a systematic, planned and objective manner.

17. EXECUTION & IMPLEMENTATION METHODOLOGY:

- i. The CSR activities/projects as approved by MOPSW shall be implemented using internal resource or through an identified suitable agency or through providing financial assistance to NGOs/ specialized agencies/ trusts/ institutions/ foundations/ societies/ bodies etc. in accordance with the DPA CSR policy. While assigning such projects to specialized agencies etc, every

possible effort shall be made to verify the reliability of such agencies.

- ii. CSR activities may also be undertaken in collaboration with other Port/s in such a manner that the CSR Committees of the respective Port/s shall report separately on such projects or programs.
- iii. Standard Operating Procedures has been framed & placed at Annexure 'A'.
- iv. The external implementation partner should be identified following the due procedure as described in the Standard operating procedures for implementation of CSR.
- v. In all such cases where the CSR projects/schemes are to be implemented through external agency(s), DPA will be required to specify appropriate Terms & Conditions or to enter into an agreement with the executing / implementing agency as the case may be. The said Terms and conditions / Agreement shall necessarily include the payment provisions related to monitoring.
- vi. DPA may prepare a suitable panel for such agencies or they may select from panel maintained by the Government, Autonomous Bodies or National CSR Hub (TISS) etc.
- vii. CSR funds earmarked for the year, if spent on activities and expenditure related exclusively to the benefits for port employees / training and recreational activities for its own employees, will not count as CSR expenditure.
- viii. Ports shall undertake any such other projects / make such allotments as may be directed by the Ministry from time to time.

18. MONITORING MECHANISM:

- i. CSR cell shall be created & it shall be responsible for monitoring of CSR activities.

19. DISCLAIMER:

- i. DPA reserves the right to modify, cancel, add or amend any of the provisions of this policy in accordance with the prevailing statute.
- ii. Notwithstanding any clause in this policy, no action pertaining to CSR activities shall be taken in contravention to the guidelines forwarded/ issued by MOPSW from time to time.

STANDARD OPERATING PROCEDURES (SOP) FOR IMPLEMENTATION OF CSR PROGRAMMES IN DEENDAYAL PORT AUTHORITY

1.00: Need for putting in place a Standard Operating Procedure (SOP) for CSR activities:

DPA has formulated the following Standard Operating Procedure (SOP) aligning it with the CSR Policy of the Port. The SOP is to enable the Port to carry out the CSR activities in an effective and efficient manner.

2.1 : Standard Operating Procedure (SOP):

2.2 : Implementing Agencies:

The CSR activities of Deendayal Port Authority would be carried-out through 2 channels viz;

- i. Using internal resource of DPA: The CSR activities will be carried out through DPA officials by following due procedure of DPA i.e. open tendering, GEM etc.
- ii. Through an identified suitable agency or through providing financial assistance to NGOs/ specialized agencies/ trusts/ institutions/ foundations/ societies/ bodies etc.

2.3 : Due Diligence on Selection:

- i. Deendayal Port Authority shall follow due diligence in selecting suitable agency / NGOs/ specialized agencies/ trusts/ institutions/ foundations/ societies/ bodies etc. to carry out its CSR activities. The guidelines/process of due diligence are furnished in the attachment as **Annexure-I**.
- ii. No donations to NGOs to support its financial strength shall be given under CSR budget.
- iii. Financing and supporting of regular and routine ongoing activities of NGOs should be avoided.
- iv. NGOs which work as aggregator of the activities of other NGOs and the NGOs working as fund raiser should not be supported under DPA CSR activities.
- v. NGOs blacklisted by any Government agency shall not be entertained under DPA CSR activities.

2.4 : Documentation:

- i. In case if any IP / NGO etc approaches DPA with a request for financial support under CSR banner, the following information/documents

shall be required to be submitted by the IP / NGO etc.

- a. Information on due diligence as per the format prescribed at **Annexure-I**.
 - b. Project proposal as per the format prescribed at **Annexure - II**
 - c. Registration Certificate from Competent Authority.
 - d. 12 A registration copy.
 - e. Trust Deed or any relevant document confirming the formation/registration of Agency by Competent Authority.
 - f. 80 G of Income Tax Act.
 - g. Registration Certificate under FCRA (if availing (Foreign Contribution Regulation) Act 1976).
 - h. Last three years audited financial reports.
- ii. The IP / NGO etc shall make a presentation regarding the CSR project to be undertaken as decided by the Competent Authority, if required.
- iii. In case if any IP / NGO etc approaches DPA with a request for financial support under CSR banner for minor schemes below 10 lakhs, the following information/documents shall be required to be submitted by the IP / NGO etc.
- a. Information on due diligence as per the format prescribed at Annexure-I.
 - b. Project proposal as per the format prescribed at Annexure - II
 - c. Registration Certificate from Competent Authority.
 - d. 12 A registration copy

2.5 : Pre-sanction Process:

The officials of CSR cell will preferably undertake pre-sanction project site visit. The inspection report with field photos/Videos should be submitted for further course of action and for a suitable decision of competent authority on the project.

2.6 : Compliance with Extant Regulations:

The IP / NGO etc concerned shall obtain all the necessary statutory and regulatory approvals from concerned authorities for execution of the project.

2.7 : Limits, Sanction, Disbursement and post-Disbursement Process and Documentation:

- i. As per the CSR Policy all projects shall be placed before the DPA CSR Committee for their recommendation before placing it to for Board approval.
- ii. After receiving approval for the project from the Board;

CSR cell direct the internal resource of DPA to process further for execution of CSR activity

Or

- (a) CSR cell should obtain an undertaking from IP / NGO etc for effective implementation of the project (CSR activity to be carried out by IP / NGO etc.)
- (b) A formal letter/ order of acceptance of the project proposed by a IP / NGO etc with necessary terms and conditions along with the undertaking from IP / NGO etc will be sent to the IP / NGO etc with advice to initiate the CSR activity.
- (c) Funds shall be disbursed as per the detailed guidelines outlined below;

- 1. The amount sanctioned should be disbursed in suitable installments. The first installment would be / can be released in **advance if required** and the subsequent installments to be released based on the production of utilization certificate issued by the competent Authority and physical verification of activity undertaken, by authorized person of DPA CSR Cell.

Additional funds will be released only upon utilization of at least 80% of the funds released earlier and in compliance with the above condition.

- 2. Utilization Certificate: A statement giving details of expenditure incurred of funds received from DPA, duly signed by the Competent Authority of the Beneficiary organization and certified by an Auditor / CA. The Beneficiary shall also submit report as required by DPA along with the photos, videos etc.
 - 3. The payment shall be remitted only after getting bank account details with required documentation, if any.
- iii. All the payments in respect of CSR activities of DPA shall be effected through online transfer i.e. NEFT or RTGS only.
 - iv. IP / NGO etc shall submit a full project implementation report, statement of accounts and utilization certificate within a reasonable period from the date of completion of the project duly signed by the Competent Authority of the Beneficiary organization and certified by an Auditor / CA.
 - v. In addition, the IP / NGO etc shall submit a quarterly project development report, till the final completion of the project.
 - vi. Any other report as may be prescribed/ required by DPA along with the photos, videos etc. to give the authentic proof of execution of the CSR project on behalf of DPA.

2.8 : Spreading Awareness of our Responsibility:

The CSR activities of Deendayal Port Authority are not for any publicity purpose. The endeavor of the Port would be to help the various sections of the Society at large.

2.7 : Power to Modify the SOP:

The power to make any modification/addition/deletion to the SOP, if required either in whole or in part, shall rest with the CSR Committee.

2.8 : ROLES & RESPONSIBILITY OF CSR CELL:

The DPA CSR Cell shall have the following roles & responsibilities;

1. Responsible for overall timely & effectively implementation of DPA CSR activities.
2. Prepare documents, PowerPoint presentation etc as required by the CSR Committee.
3. Compliance of the terms and conditions with the IP / NGO etc..
4. Exercise due diligence while evaluating the requests of the implementing partner IP / NGO etc as per the laid down procedure.
5. To conduct site visit of the requested activity / project. Prepare a site inspection report with field photos/ videos.
6. Disbursal of funds as per the milestones of the CSR activity / project and expenditure thereunder.
7. To prepare CSR Budget through Board resolution as a percentage of net profit in the manner specified in guidelines issued from time to time.

ANNEXURE – I (DUE DILIGENCE)

Name of the IP / NGO etc:

Registration No:

Address:

**Information for Due Diligence (DD) of the Implementation Partner (IP)/
NGO etc**

1. Identity and legal status:

- 1) The IP/NGO etc Registration No. and details of Authority under which the organization is registered.
- 2) The physical address of Head Office/Registered Office of the organization.

2. Vision, aims, objectives and achievements:

- 1) The vision and mission statements of the IP/NGO etc including its core values and purpose.

3. Governance:

- 1) Full details of Governing Board of the IP / NGO etc
- 2) Details of Board Members viz, name, age, gender, position.
- 3) Recommendation letter from Local leaders, Panchayat etc. certifying that the NGO does credible work

4. Competence and Capacity of the implementation Partner/NGO etc:

- 1) Particulars of people with skills and knowledge in addition to the ability and experience with respect to the nature of the programme it proposes to undertake.

5. Track Record and Image of IP/NGO.

The NGO may submit information in support of its track record like receiving of awards, reports in the media, and details of its previous performance, achievements in human well- being.

6. Nature of financial support sought by IP / NGO

The proposal of the project, for which NGO has approached DPA for the support, shall be attached.

Declaration by authorized representative of IP/NGO.

I/We hereby declare that the particulars contained herein are true and correct and that no material fact has been withheld, misstated or misrepresented and also that this form shall be a part of MOU / agreement between our NGO and DPA. I/We further declare that the IP / NGO etc operates as Non- profiteering organization and do not transact any activity on commercial lines.

I/We further declare that all reasonable steps to utilize the funds donated, for the wellbeing of target beneficiaries will be taken and shall maintain records and books of accounts reasonably required. I/We also hereby declare that I/We have not sought any financial support from any other organizations to utilize for the above proposed project.

Date: Signature of authorized official Place:

Name:

Designation:

ANNEXURE – II: PROJECT PROPOSAL FORM

Project Proposal form.

1. Name of the IP / NGO etc :
2. Registration Number.
3. Address:
4. Name of the project:
5. Territory of the Project:
6. Need of the project:
7. Experience of IP / NGO etc in similar project:
8. The total costing of the project
9. Whether any other IP / NGO etc taken up similar kind of project or is this project unique in the country?
10. Whether the entire project is proposed for DPA CSR support or a part of the total project needs the support of DPA?
11. Whether the support under CSR from other Companies is sought earlier/simultaneously for this proposal? If yes, please provide the details.
12. Please furnish the full and detailed technical and financial aspects of the project. Attach a separate project report.

Declaration by authorized representative of IP/NGO etc.

I/We hereby declare that the particulars contained herein are true and correct and that no material fact has been withheld, misstated or misrepresented and also that this form shall be a part of MOU / agreement between our NGO and DPA. I/We further declare that the IP / NGO etc operates as Non- profiteering organization and do not transact any activity on commercial lines.

I/We further declare that all reasonable steps to utilize the funds donated, for the wellbeing of target beneficiaries will be taken and shall maintain records and books of accounts reasonably required.

Date: _____ Signature of authorized official _____ Place: _____

Name: _____

Designation: _____

CHECKLIST

Name of the CSR Project / activity

SL. NO.	PARTICULARS	YES	NO	REMARKS
1	Credentials of the IP / NGO/ specialized agency/ trust/ institution/ foundation/ society/ body / others)			
i	Registration Certificate from Competent Authority.			
ii	Brief profile of the organization			
iii	Income Tax Exemption Certificates 80G/12A (12AA)/35AC under IT Act 1961/FCRA/Other Applicable Exemption			
iv	Details of representatives of Board of Trustee/Governing Body of IP / NGO etc, Memorandum of Association, Article of Association, Trust Deed and brief profile of CEO/Managing Trustee/Managing Committee.			
v	Last three years audited financial reports.			
vi	Similar proposal executed/ongoing, if any and its details along with supporting documents like sanction letters/ Memorandum of Understanding/ Memorandum of Association / any other documentary Evidence supported with photographs.			
vii	Details of previous programmes carried out for DPA, if any including status of implementation, scope of work, location, number of beneficiaries, impacts etc			
viii	PAN Details			
ix	Details of bank account (cancelled cheque).			
x	TDS exemption certificate (if available).			
2	All regulatory approvals & other approvals to be taken by IP / NGO etc, if required			