

Form 1B - Annual Self-Disclosures Report for NPOs

## Form 1B Annual Self-Disclosures Report

*Based on requirements of SEBI Circular of September 19, 2022:*

*C - Annual disclosure by NPOs on SSE which have either raised funds through SSE or are registered with SSE in terms of Regulation 91C of the LODR Regulations,  
D - Disclosure of Annual Impact Report by all Social Enterprises which have registered or raised funds using SSE in terms Regulation 91E of the LODR Regulations and  
Annexure I: Guidance notes for listed/ registered NPOs on disclosures of general, governance and finance aspects.  
Please refer to the circular and its Annexures for detailed description of requirements.*

*Form 1A covers disclosures of general and governance aspects that are not dependant on statutory financial audit.*

**Form 1B covers disclosures of general, governance and finance aspects that have a reference to audited financial statements and filings with Income Tax, FCRA, Charity Commissioner, Registrar of Societies, Registrar of Companies and other regulators as applicable.**

### Instructions

All NPOs participating on the SSE (all registered regardless of whether they have currently listed securities or not) will **self-report annually in Form 1B Annual Self-Disclosures Report. A copy will be filed with the respective SSE by 31<sup>st</sup> Oct every year.**

Form 1B indicates which fields are mandatory for NPOs based on their annual spending

*Annual Spending as per Audited Financial Statements of the previous financial year under review.*

*S1: Upto Rs1 Cr*

*S2: >Rs1 Cr*

*(These slabs may be reviewed by SEBI, periodically as per need.)*

Form 1B - Annual Self-Disclosures Report for NPOs

Table of Contents

|  |           |
|--|-----------|
| <b>INSTRUCTIONS</b> .....  | <b>1</b>  |
| <b>FORM 1B.1</b> .....   | <b>3</b>  |
| <b>1) DISCLOSURES ON GENERAL ASPECTS</b> .....   | <b>3</b>  |
| 1A) DETAILS OF TOP PROGRAMMES .....  | 3         |
| 1B) DETAILS OF SCALE OF OPERATIONS .....   | 6         |
| 1C) DETAILS OF TOP DONORS OR INVESTORS OF THE ORGANISATION .....   | 7         |
| <b>2) DISCLOSURES ON GOVERNANCE ASPECTS</b> .....  | <b>8</b>  |
| 2A) REPORTING OF RELATED PARTY TRANSACTIONS AS PER INCOME TAX ACT SECTION 13(3) .....                            | 8         |
| 2B) COMPLIANCE MANAGEMENT PROCESS .....  | 9         |
| <b>3) DISCLOSURES ON FINANCIAL ASPECTS</b> .....   | <b>9</b>  |
| <b>FORM 1B.2</b> .....   | <b>10</b> |
| <b>1B.2(i) LIST OF PROGRAMMES FUNDED THROUGH LISTED SECURITIES ON SSE FOR WHICH FORM 2.1 IS APPLICABLE</b> ..... | <b>10</b> |
| <b>1B.2(ii) LIST OF PROGRAMMES FOR WHICH AIR IS PREPARED IN THIS SECTION</b> .....                               | <b>10</b> |
| <b>SUB-SECTION 1B.2.1 ANNUAL IMPACT REPORT (AIR) SELF-REPORTED</b> .....   | <b>11</b> |
| <b>1) STRATEGIC INTENT AND PLANNING</b> .....  | <b>11</b> |
| <b>2) APPROACH</b> .....   | <b>12</b> |
| <b>3) IMPACT INDICATORS</b> .....  | <b>13</b> |
| <b>4) RELEVANCE AND SUSTAINABILITY</b> .....   | <b>14</b> |
| <b>5) PHOTOGRAPHS CONVEYING BEFORE AND AFTER IMPACT OF THE PROGRAMME</b> .....                                   | <b>15</b> |
| <b>6) ANNEXURES</b> .....  | <b>15</b> |
| <b>FORM 1B.3</b> .....   | <b>17</b> |
| <b>DECLARATION</b> .....   | <b>17</b> |
| <b>FORM 1B.4 STATEMENT OF COMPLIANCE</b> .....   | <b>18</b> |

Form 1B - Annual Self-Disclosures Report for NPOs

## Form 1B.1

**Self-Reported Annual Disclosures**

of <organisation name>

with BSE SSE Registration No: <.....>

with NSE SSE Registration No: <.....>

for the period from \_\_\_\_\_ to \_\_\_\_\_

### 1) Disclosures on General aspects

#### 1a) Details of top programmes

List of Top 5 activities/ interventions/ programs/ project (budget wise) in the financial year

| <b>S1:<br/>Upto Rs1 Cr</b> | <b>S2: More<br/>than Rs1 Cr</b> |
|----------------------------|---------------------------------|
| <i>Must Reply</i>          | <i>Must Reply</i>               |

Form 1B - Annual Self-Disclosures Report for NPOs

| #       | Programme Name<br>Year Started<br>Programme Duration<br>(in years)   | Geography   | Total Programme Budget (in INR)  | Expenditure in Previous year (in INR)                   | Cumulative Expenditure (in INR)   | Total Reach (Direct, Indirect, Institutional) beneficiaries <sup>1</sup>   | Names of Donors or Investors   | SDG Goal   | Alignment with National/State schemes or priority                        |
|---------|--|---|--|---|---|--|--|--|--|
| 1       | 2  | 3   | 4  | 5   | 6   | 7  | 8  | 9  | 10   |
| Sr. No. | Name by which the programme is referred to by your organisation.<br><br>Number of Years the programme is expected to run from its launch. If the programme go on forever, please mention ongoing | List the States with Districts covered by the programme. Mention how many of these cover aspirational blocks as per NITI Aayog. | Total Programme Cost across its life. In case of ongoing programme, at least 5 years | Expenditure in the Previous Financial Year under review | Expenditure from the programme start till the end of the Financial Year under review/ Total expenditure for at least last 5 Financial Year (if it is ongoing programme) | <b>Direct-</b> beneficiaries directly impacted like students of school<br><b>Indirect-</b> beneficiaries indirectly impacted like families of students<br><b>Institutional-</b> entities impacted like other schools in the area | Provide Donor's name (Top 5 Donors of the programme since the programme inception) | Select 1 SDG Goal that is most impacted by the programme | List the schemes or national goals to which programme is aligned, if any |
| 1       |  |   |  |   |   |  |  |  |  |

<sup>1</sup>Beneficiaries includes entities such as individual, person, thing, article, unit, body, creature

Form 1B - Annual Self-Disclosures Report for NPOs

Add more rows, 1 row for each of **Top 5 activities/ interventions/ programs/ projects**

Form 1B - Annual Self-Disclosures Report for NPOs

1b) Details of Scale of operations

(Including Employee and Volunteer strength)

|                            |                                 |
|----------------------------|---------------------------------|
| <b>S1:<br/>Upto Rs1 Cr</b> | <b>S2: More than<br/>Rs1 Cr</b> |
| <i>Must Reply</i>          | <i>Must Reply</i>               |

| Sr.<br>Number | Item  | Details |
|---------------|---|---------|
| 1             | <p><b>Scale of Operations</b><br/>The scale of the operations shall be explained by:</p> <p>1.1 net turn-over/annual budget/annual spending in last 3 years,<br/>1.2 number of beneficiaries<sup>2</sup><br/>1.3 number of locations of operations<br/>1.4 whether at national/ state level/ district level</p> |         |
| 2             | <p><b>Number of Employees</b><br/>Total number of employees shall be disclosed separately as</p> <p>2.1 permanent employees,<br/>2.2 temporary employees and<br/>2.3 employees on contract</p>  |         |
| 3             | <p><b>Number of Volunteers</b><br/><br/>The nature and scale of activities performed by volunteers shall be disclosed.</p>  |         |

<sup>2</sup> Beneficiaries includes entities such as individual, person, thing, article, unit, body, creature

Form 1B - Annual Self-Disclosures Report for NPOs

1c) Details of top donors or investors of the organisation

**List of Top 5 donors or investors (budget wise)**

|                            |                                 |
|----------------------------|---------------------------------|
| <b>S1:<br/>Upto Rs1 Cr</b> | <b>S2: More than<br/>Rs1 Cr</b> |
| <i>Must Reply</i>          | <i>Must Reply</i>               |

| #             | Donor or Investor Name      | Geography   | Total Programme Cost (in INR)   | Expenditure in the Previous Year (in INR)   | Cumulative Expenditure (in INR)   | Total Outreach (to Beneficiaries <sup>3</sup> )  | SDG Goal   | Alignment with National / State schemes or priority                      |
|---------------|-----------------------------|---|---|---|---|--|--|--|
| 1             | 2                           | 3   | 4   | 5   | 6   | 7  | 8  | 9  |
| <i>Sr. No</i> | <i>Provide Donor's name</i> | <i>List the States with Districts covered by the programme. Mention how many of these cover aspirational blocks as per NITI Aayog</i> | <i>Total Programme Budget supported/ sanctioned by the donor during the life of the project</i> | <i>Expenditure in the Previous Financial Year under review against this Donor's funding</i> | Expenditure against this Donor's funding from the programme inception till the end of the Previous Financial Year under review. If it is an ongoing funding from this donor, then at least for the last 5 Financial Years | <b>Direct-</b> beneficiaries directly impacted like students of school<br><b>Indirect-</b> beneficiaries indirectly impacted like families of students<br><b>Institutional-</b> entities impacted like other schools in the area | Select 1 SDG Goal that is most impacted by the programme | List the schemes or national goals to which programme is aligned, if any |
| 1             |                             |   |   |   |   |  |  |  |

Add more rows, 1 row for each of **Top 5 donors**

<sup>3</sup> Beneficiaries includes entities such as individual, person, thing, article, unit, body, creature

Form 1B - Annual Self-Disclosures Report for NPOs

2) Disclosures on Governance aspects

2a) Reporting of related party transactions as per Income Tax Act section 13(3)

| <p><i>The organization shall disclose all related party transactions entered by it and reasons for the same.</i></p>  |                        |                        |                        |                         |  |   | <p><b>S1: Upto Rs1 Cr</b><br/>Must comply</p> | <p><b>S2: More than Rs1 Cr</b><br/>Must comply</p> |   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|---|------------------------|------------------------|------------------------|-------------------------|--|---|---|--|---|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| <table border="1"> <thead> <tr> <th>Name of the Party</th> <th>Nature of relationship</th> <th>Nature of transaction</th> <th>Amount in current year</th> <th>Amount in previous year</th> <th>Balance Outstanding Current Year (Dr / Cr)</th> <th>Balance Outstanding Previous Year (Dr / Cr)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>  | Name of the Party      | Nature of relationship | Nature of transaction  | Amount in current year  | Amount in previous year                    | Balance Outstanding Current Year (Dr / Cr)  |   |  | Balance Outstanding Previous Year (Dr / Cr) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Name of the Party   | Nature of relationship | Nature of transaction  | Amount in current year | Amount in previous year | Balance Outstanding Current Year (Dr / Cr) | Balance Outstanding Previous Year (Dr / Cr) |   |  |   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|   |                        |                        |                        |                         |  |   |   |  |   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|   |                        |                        |                        |                         |  |   |   |  |   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|   |                        |                        |                        |                         |  |   |   |  |   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| <p><b>Definition of Related Party</b></p> <p><i>If there have been transactions between related parties, during the existence of a related party relationship, the reporting enterprise to disclose the following:</i></p> <p>(i) <i>the name of the transacting related party;</i></p> <p>(ii) <i>a description of the relationship between the parties;</i></p> <p>(iii) <i>a description of the nature of transactions;</i></p> <p>(iv) <i>volume of the transactions either as an amount or as an appropriate proportion;</i></p> <p>(v) <i>any other elements of the related party transactions necessary for an understanding of the financial statements;</i></p> <p>(vi) <i>the amounts or appropriate proportions of outstanding items pertaining to related parties at the balance sheet date and provisions for doubtful debts due from such parties at that date; and</i></p> <p>(vii) <i>amounts written off or written back in the period in respect of debts due from or to related parties.</i></p> |                        |                        |                        |                         |  |   |   |  |   |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

Form 1B - Annual Self-Disclosures Report for NPOs

2b) Compliance management process

|  |  |   |
|--|--|---|
| <p><i>Compliance management process</i></p> <p><i>Statement of compliance from senior decision maker (Chair/ CEO or equivalent) in Form 1B.4</i></p> | <p><b>S1: Upto Rs1 Cr</b><br/><i>Must have</i></p> | <p><b>S2: More than Rs1 Cr</b><br/><i>Must have</i></p> |
|--|--|---|

3) Disclosures on Financial aspects

|                               |                                    |
|-------------------------------|------------------------------------|
| <p><b>S1: Upto Rs1 Cr</b></p> | <p><b>S2: More than Rs1 Cr</b></p> |
| <p><i>Must Reply</i></p>      | <p><i>Must Reply</i></p>           |

Please attach the following documents:

| Item  | NA | Yes | No |
|---|----|-----|----|
| <ol style="list-style-type: none"> <li>1. Balance Sheet</li> <li>2. Income &amp; Expenditure Statement</li> <li>3. Cash Flow Statement/ Receipts &amp; Payments Account</li> <li>4. Schedules to Accounts</li> <li>5. Notes on Accounts &amp; Significant Accounting Policies</li> <li>6. Program-wise fund utilization for the previous year</li> <li>7. Details of Auditors</li> <li>8. Copy of Income Tax Return</li> <li>9. Copy of Form10B/ 10BB Audit report filed with Income Tax</li> <li>10. Copy of FC Return (if NPO has FCRA)</li> <li>11. Copy of Annual Returns filed with Registration Authority (Registrar of Companies, Registrar of Societies, Charity Commissioner)</li> </ol> |    |     |    |

Form 1B - Annual Self-Disclosures Report for NPOs

SSE may specify additional parameters that may be required to be disclosed by NPO on an annual basis.

## Form 1B.2

*This section covers the Annual Impact Report (AIR) that should, at a minimum, cover the aspects described below.*

***This should cover at least the top 67 percent of programme spending for the reporting period. For each of the thematic areas the organisation works in, as per the SEBI defined 16 thematic areas, a separate AIR is to be prepared in Form 1B.2. This would help the organisation to determine eligibility for listing projects.***

***If the organisation has active listed securities in the same period, they should be covered using Form 2 that needs to be assessed by a competent social impact assessor of an empanelled social impact assessment firm, for each of the listed securities.***

1B.2(i) List of Programmes funded through Listed Securities on SSE for which Form 2.1 is applicable

| Serial No.               | Listing ID | Programme/ Project Title | Total Spending in INR on this Programme in this FY | % spending on this Programme/ Project in the FY under review | Form 2.1 Prepared (Yes/ No) |
|--------------------------|------------|--------------------------|--|--|-----------------------------|
| 1.                       |            |                          |  |  |                             |
| Add more rows, if needed |            |                          |  |  |                             |

1B.2(ii) List of Programmes for which AIR is prepared in this section

| Serial No.               | Programme/ Project Title | Total Spending in INR on this Programme in this FY | % spending on this Programme/ Project in the financial year under review | Page Nos in this report |
|--------------------------|--------------------------|--|--|-------------------------|
| 1.                       |                          |  |  |                         |
| Add more rows, if needed |                          |  |  |                         |

**Please note: Total of 1B.2(i) and 1B.2(ii) should be at least the top 67 percent of programme spending for the reporting period.**

Form 1B - Annual Self-Disclosures Report for NPOs

Sub-Section 1B.2.1 Annual Impact Report (AIR) Self-Reported

of **<organisation name>** for the period

from \_\_\_\_\_ to \_\_\_\_\_

For **<Project Name>** comprising **< >** % spending in the financial year under review

Under **<.....SSE Thematic Area>**

Programme start date:

Programme Objective(s):

1) Strategic Intent and Planning

| <b>Item</b>   | <b>S1: Upto Rs1 Cr</b> | <b>S2: More than Rs1 Cr</b> |
|---|------------------------|-----------------------------|
| a) <i>What is the social or environmental or cultural challenge the organization is addressing in this thematic area? Has this changed in the last year?</i>  | Must Reply             | Must Reply                  |
| b) <i>How is the organization attending to the challenge or planning to attend to the challenge in this thematic area? Has this changed in the last year?</i> | Must Reply             | Must Reply                  |
| c) <i>Who or what is being impacted (target segment/ affected area)? Has this changed in the last year?</i>   | Must Reply             | Must Reply                  |

Form 1B - Annual Self-Disclosures Report for NPOs

|  |            |            |
|--|------------|------------|
| d) <i>What will be the outcomes of the activities, intervention, programs or project? Disclosure should include positive and potential unintended negative outcomes.</i> | Must Reply | Must Reply |
|--|------------|------------|

2) Approach

| <b>Item</b>  | <b>S1: Upto Rs1 Cr</b> | <b>S2: More than Rs1 Cr</b> |
|--|------------------------|-----------------------------|
| a) <i>What is the baseline status* at the start of the activity/intervention/programs or project and at the end of the last reporting period?</i><br><br><i>*Baseline status includes situation analysis/ context description at the start</i> | Must Reply             | Must Reply                  |
| b) <i>What has been the past performance trend? (if relevant)</i>  | Must Reply             | Must Reply                  |
| c) <i>What is the solution implementation plan and the measures taken for sustainability of activity/intervention/programs or project outcomes? Has there been any material change in your implementation model in the last one year?</i>      | Must Reply             | Must Reply                  |
| d) <i>Please brief out alignment of solution to Sustainable Development Goals (SDGs)/national priorities/state priorities/developmental priorities.</i>  | Must Reply             | Must Reply                  |
| e) <i>How have you taken into consideration stakeholder feedback in this reporting period?</i>   | Must Reply             | Must Reply                  |

Form 1B - Annual Self-Disclosures Report for NPOs

|  |            |            |
|--|------------|------------|
| f) <i>In the last year, what have you seen as the biggest risks to the achievement of the desired impact? How are these being mitigated?</i> | Must Reply | Must Reply |
|--|------------|------------|

3) Impact Indicators

| Item   | S1: Upto Rs1 Cr            | S2: More than Rs1 Cr       |
|--|----------------------------|----------------------------|
| a) <i>What are the indicators used to evaluate the effectiveness and outcomes of programmes</i>  | Must Reply                 | Must Reply                 |
| <b>i) Timeline specific output indicators from inception to end of project</b><br>(1) <i>Number of interventions implemented</i><br>(2) <i>Timeliness of intervention delivery</i><br>(3) <i>% of planned vs. achieved programmes</i>  | Must Reply                 | Must Reply                 |
| <b>ii) Intermediate outcomes indicators (for e.g.) - starts around mid-term and continue to end-term of project</b><br>(1) <i>Increased awareness or knowledge among the target population</i><br>(2) <i>Changes in attitudes or perceptions</i><br>(3) <i>Adoption of new behaviours or practices</i><br>(4) <i>Improved skills or capabilities</i><br>(5) <i>Increased access to resources or services</i> | Must Reply when applicable | Must Reply when applicable |

Form 1B - Annual Self-Disclosures Report for NPOs

| <i>Item</i>  | <i>S1: Upto Rs1 Cr</i>            | <i>S2: More than Rs1 Cr</i>       |
|--|-----------------------------------|-----------------------------------|
| <p><b>iii) Overall outcome indicators (for e.g.) towards end-term and after end of the project period (depends on project gestation period)</b></p> <p>(1) Behavioural change sustained over time</p> <p>(2) Improved social or economic conditions</p> <p>(3) Reduced rates of negative outcomes (e.g., poverty, disease, crime)</p> <p>(4) Enhanced quality of life</p> <p>(5) Increased resilience to future challenges</p> | <p>Must Reply when applicable</p> | <p>Must Reply when applicable</p> |

4) Relevance and Sustainability

(Please share in 3-5 sentences with a supporting fact/ data point)

| <i>Item</i>   | <i>S1: Upto Rs1 Cr</i>                                      | <i>S2: More than Rs1 Cr</i> |
|---|---|-----------------------------|
| <p>i) Relevance: Explain with a supporting fact/ data point how the initiative aligns with the organization's values and goals and is relevant to the target audience</p> <p>ii) Sustainability: Explain with a supporting fact/ data point how the initiative is sustainable and if it can continue to make a positive impact in the future.</p> | <p>Must Reply</p>   | <p>Must Reply</p>           |
| <p>a) Briefly include narratives of Social, Environmental, Cultural and Economic impact on target segment(s) in the reporting period.</p>   | <p>Must share any impact observed on the target segment</p> | <p>Must Reply</p>           |

Form 1B - Annual Self-Disclosures Report for NPOs

| <i>Item</i>   | <i>S1: Upto Rs1 Cr</i>                                     | <i>S2: More than Rs1 Cr</i> |
|---|--|-----------------------------|
| <i>b) Beneficiary<sup>4</sup>/Stakeholder Validation through surveys and other feedback mechanism</i> | <i>Must Reply based on any simple method of validation</i> | <i>Must Reply</i>           |

5) Photographs conveying before and after impact of the Programme  
(a maximum of 3 impact situations may be shared per Programme)

| <i>S1: Upto Rs1 Cr</i> | <i>S2: More than Rs1 Cr</i> |
|------------------------|-----------------------------|
| <i>Must Reply</i>      | <i>Must Reply</i>           |

6) Annexures

| <i>S1: Upto Rs1 Cr</i> | <i>S2: More than Rs1 Cr</i> |
|------------------------|-----------------------------|
| <i>Must Reply</i>      | <i>Must Reply</i>           |

| <i>Item</i> | <i>NA</i> | <i>Yes</i> | <i>No</i> |
|-------------|-----------|------------|-----------|
|-------------|-----------|------------|-----------|

<sup>4</sup> Beneficiaries includes entities such as individual, person, thing, article, unit, body, creature

Form 1B - Annual Self-Disclosures Report for NPOs

|  |  |  |  |
|--|--|--|--|
| 1) Blank copy of any questionnaire or survey forms used  |  |  |  |
| 2) Summary analysis of surveys undertaken  |  |  |  |
| 3) Impact Map linking outputs and outcomes to activities   |  |  |  |
| 4) Copies of other consultation details (such as focus group write-ups, workshop notes, etc.)                |  |  |  |
| 5) Copies of evidence summarised or quoted in the social impact report                                       |  |  |  |
| 6) Notes of the previous social impact assessment meetings (when applicable)                                 |  |  |  |
| 7) Past Social Impact Assessment Statements for the projects funded by the Listed Security (when applicable) |  |  |  |
| 8) Completion certificate of approved mandatory capacity building workshops                                  |  |  |  |
| 9) Case Studies/ Stakeholder Testimonials  |  |  |  |
| 10) All stand-alone reports and that have contributed to the organisation's impact reporting for this period |  |  |  |

End of Sub-Section 1B.2.1 Use Sub-Section 1B.2 format for each Programme Report<sup>5</sup> with Title Prefixed by Sub-section 1B.2.2, 1B.2.3, 1B.2.4, 1B.2.5 and so on for reporting additional projects totalling to 67 percent of total programme expenditure in the financial year under review mentioned at

***SSE may specify additional parameters that may be required to be disclosed by SE in its AIR***

<sup>5</sup> For each programme reported in table 1.2.(ii) in Form 1.2

Form 1B - Annual Self-Disclosures Report for NPOs

## Form 1B.3 Declaration

|                        |                             |
|------------------------|-----------------------------|
| <i>S1: Upto Rs1 Cr</i> | <i>S2: More than Rs1 Cr</i> |
| <i>Must Reply</i>      | <i>Must Reply</i>           |

*I hereby certify that all the information provided in this report are correct and that all documents submitted by our organisation are true copies.*

*Authorised Representative of <.....NPO.....> Name:.....*

*Signed:..... Date:..... Place:.....*

*Seal of NPO:*

=====

## Form 1B.4 Statement of Compliance

I, .....( name and designation – Chair / CEO / Equivalent Senior position ) of ..... ( name of the Social Enterprise ) certify that:

- a. All activities undertaken by the Social Enterprise are in conformity with the objectives as stated in the relevant constitution documents and aligned to the vision, purpose and mission of the Social Enterprise
- b. Activities reflect primacy of Social intent in the functioning of the Social Enterprise as per SEBI Act and regulations made thereunder that at least 67 percent\* of our organisation's activities cover target population segments/ entities that are under-served or less privileged or live in regions recording lower performance in the development priorities of central or state governments (immediately preceding 3-year average of revenues/ expenditure/ total customer base and/or total number of beneficiaries<sup>6</sup>)
- c. I have reviewed the financial statements prepared by the Social Enterprise for the year ended .... and to the best of my knowledge and belief these Statements do not contain any materially untrue statement or omit any material fact or contain statements that might be misleading. Further, these Statements together present a true and fair view of the Social Enterprise's affairs and are in compliance with the relevant Accounting Standards, applicable laws and regulations
- d. To the best of my knowledge and belief, no transactions entered into by the Social Enterprise during the year ended ..... are fraudulent, illegal or violative of the laws, regulations and policies and procedures of the Social Enterprise. The Social Enterprise has complied with all applicable laws and regulations as applicable for the Social Enterprise
- e. I accept responsibility for establishing and maintaining internal controls for operations as well as financial reporting and the Social Enterprise has implemented and evaluated the effectiveness of internal control systems of the Social enterprise in the conduct of operations and reporting thereon
- f. I am not aware of any instance during the year of significant fraud with involvement therein of the management or any employee having a significant role in the Social Enterprise's internal control systems.

Name:.....

**Chair / CEO / Equivalent Senior position** of <.....NPO.....>

Signed:..... Date:..... Place:.....

Seal of NPO:

---

<sup>6</sup> Beneficiaries includes entities such as individual, person, thing, article, unit, body, creature