

# Fostering Corporate Responsibility through Self- and Co-regulation

Sector-specific Initiatives as Complements to Public Regulation





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## Executive Summary

### Need for institutional and policy innovations

Due to the complex nature of today's societal challenges to sustainable development, such as demographic change and resource scarcity, there is a need for institutional and policy innovations to remedy the contested capacity of governments to fulfil societal expectations related to addressing these issues. Self- and co-regulation of business behaviour by companies are governance mechanisms that can serve as complements to traditional governing approaches. Self- and co-regulation refer to a broad range of collaborations between politics, business and civil society organisations (CSOs). They encompass structures and processes in which public and private actors work towards the development of common norms and/or the provision of collective goods.

### Self- and co-regulation of business behaviour through sector-specific initiatives

As forms of self- and co-regulation, sector-specific initiatives with government involvement can adequately tackle sustainability issues. These initiatives represent different types of multi-stakeholder collaborations or industry-wide action in which public and private actors pool their resources and work together to address sector-specific challenges to the companies' operating environment (e.g., supply-chain management or a lack of trust within society) while tackling societal concerns. Thus, such initiatives promote win-win solutions for both companies and society at large. They can also assume different institutional forms (e.g., roundtables, networks, associations, etc.) depending on the specific goals they aim to meet.

### Variety of sector-specific initiatives

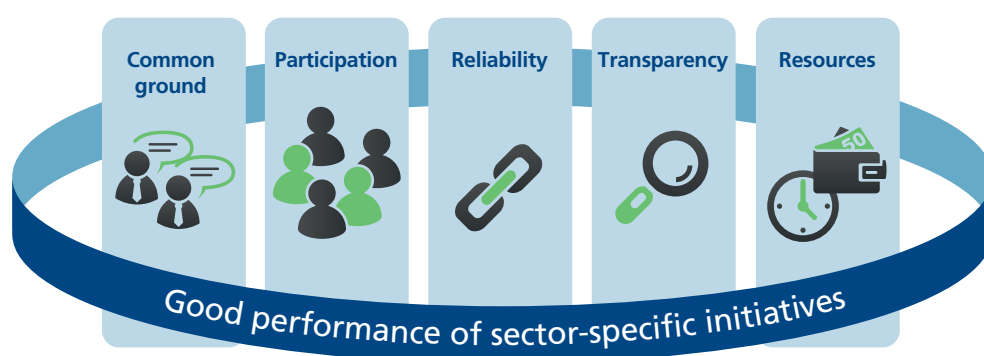
The study provides an overview of sector-specific initiatives at the national level in Europe based on intense research on the state of sector-specific Corporate Responsibility (CR) in eight countries (Denmark, Germany, France, the Netherlands, Poland, Spain, Switzerland and the United Kingdom) and five industrial sectors (chemicals, construction, wholesale and retail trade, information and communication technologies, and financial services) (see Appendix).<sup>1</sup> According to their goals and rationales, we identify awareness-raising, partnering, soft-law and mandating initiatives. Due to their differences, the four types of initiatives demonstrate certain strengths and limitations.

### Four roles of government in sector-specific initiatives

We have identified four roles that governments can play in sector-specific initiatives: *contributing*, *facilitating*, *managing* and *regulating*. Three general statements can be made about these roles and the performance of sector-specific initiatives: Firstly, the *facilitating* and *managing* roles generally advance the initiatives' performance. Secondly, whereas public actors almost always *contribute* financially to such initiatives, neither the volume nor the source of support seems to be decisive for performance. Thirdly, since governments' role as *regulators* in sector-specific initiatives is mostly limited to soft-law and mandating initiatives. Nevertheless, this role does not seem to be significant for the performance of such initiatives.

### Five success factors of sector-specific initiatives

As alternative governance mechanisms, sector-specific initiatives should abide by the criteria for good performance of traditional governance approaches: *legitimacy* (i.e., fairness and own-



Source: Bertelsmann Stiftung.

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ership of structures, processes and outcomes), *effectiveness* (i.e., short- and long-term benefits for companies and society) and *efficiency* (i.e., positive cost-benefit relationships).

Correspondingly, in order to be successful, initiatives should: (1) offer *common ground* for public and private actors in terms of a common understanding of problems and shared goals; (2) generate high degrees of *participation* from both public and private actors; (3) prove *reliable* in terms of having feasible and measurable goals; (4) foster *transparency* in terms of providing information and permitting evaluation; and (5) be sustainably designed in terms of *resources* and duration of support.

### Recommendations for policymakers

Policymakers can increase societal impact through self- and co-regulation in general and sector-specific initiatives in particular. First and foremost, public actors could help the sector-specific CR approach grow strong roots. They can do so by creating multi-stakeholder bodies, by founding new organisations and by incorporating sector-specific CR into overarching political and economic strategies. Secondly, public actors can focus on solutions. Especially in public-led or co-launched initiatives, they can

enhance initiatives' performance by choosing the appropriate type of public-private collaboration in light of the specific problem to be addressed. In addition, public actors could consider which roles they should play within the structures and processes of collaboration. Last but not least, public actors could establish the five success factors of sector-specific initiatives.

This study presents the potential for self- and co-regulation of business behaviour as complements to traditional governing approaches as well as the role of public and private actors in such governance structures and processes. In doing so, it ties in with the current debate on self- and co-regulation with respect to CR at the European and national levels while emphasising the crucial role that governments can play as promoters and enablers of responsible business behaviour. Furthermore, the study highlights the sector-specific approach to CR as an adequate collective response by companies to tackling sustainability issues. Lastly, it offers insights to public actors and other stakeholders (e.g., business and trade associations, companies and CSOs) that engage in and facilitate self- and co-regulation through sector-specific initiatives.

## Foreword

Collaboration between politics, business and civil society has already become a paradigm for governance and the provision of common goods. Since the World Summit on Sustainable Development, held in Johannesburg in 2002, public-private collaboration has been regarded as the only way to tackle global challenges, such as climate change, poverty and a growing scarcity of natural resources.



**Birgit Riess**  
 Director,  
 Business in Society  
 Bertelsmann Stiftung

Business's contribution to solving such challenges has come to be known as Corporate Responsibility (CR). This refers to the mutual relationships between business, politics and society, and depicts the role that companies play in the communities they operate in. As the European Commission defines it, CR is "the responsibility of enterprises for their impacts on society". However, CR should be seen as an effective complement to rather than a substitute for public regulation. It draws on the private sector's potential to play a role in tackling complex problems through action beyond legal responsibility and respecting widely accepted societal norms and values.

Companies can be adversely affected by the complex societal challenges and are simultaneously subject to rising societal expectations. Hence, it is in their long-term interest to engage and operate responsibly. However, by collaborating with their peers and other stakeholders, companies can maximise the impacts of their engagement and avoid first-mover disadvantages. Public-private collaboration, in particular, benefits society as a whole as it increases the outreach and impact of the efforts undertaken and resources invested.

Since companies from the same industry face similar challenges and issues, public-private collaboration in the form of sector-specific ini-

tiatives can be particularly effective at solving common problems at the sectoral level. Well-known examples of such initiatives, such as Responsible Care or the Forest Stewardship Council (FSC), represent alternative structures and processes to traditional governance in which actors from different societal sectors shape public-policy decision-making from the agenda-setting to the implementation stage.

This study examines sector-specific CR initiatives and instruments at the national level as forms of self- and co-regulation. It focuses on the role that public actors play in such initiatives and instruments as well as the different approaches they use to promote CR. As the German federal government's "Action Plan for CSR" points out, political bodies play a crucial role as an enabler of responsible business behaviour by fostering a conducive environment through market incentives and increased transparency.

For many years, the Bertelsmann Stiftung has been promoting the role of governments as an enabler of a responsible operating environment for companies. The Stiftung also supports collective action within business-driven networks and promotes collaboration through its regional business-driven Partners in Responsibility model. The following study combines both areas of interests. In this regard, it ties in with the current public debate at the European and national levels on new governance and better regulation through private-sector involvement. Also, it gives policymakers an overview of the approaches to sector-specific CR and of the ways currently being used to increase societal impacts through public-private collaboration.

“Sector-specific CSR initiatives and instruments can benefit companies because their competitors also face comparable problems, issues and challenges, because sector-wide solutions can reduce transaction costs and because they can create synergies.”

**Jörg Trautner**

Head of Unit

CSR – Corporate Social Responsibility,  
German Federal Ministry for Labour and Social Affairs



“CSR requires a continuous, transparent and open dialogue with all relevant stakeholders to review how industry addresses the sustainability challenges. It is a collective exercise, monitoring performance, establishing benchmarks and ensuring best practice sharing at regional and local levels.”

**Dr. Hubert Mandery**

Director General

Cefic – European Chemical Industry Council

“The role of governments in relation to CSR is all the more important and changing: not through specific regulation or demands for various (paper) commitments but rather by policy implementation focused on multi-stakeholder collaboration and solution development. Businesses, local actors, non-governmental stakeholders are all part of the solution.”

**Stefan Crets**

Executive Director

CSR Europe



“Regardless of their type, what sector-specific initiatives share in common is the principle of collective action in pursuit of a common goal. In order to bring about a level playing field and increase an industry’s credibility within society at large, many companies choose to become central partners in these initiatives.”

**Hans-Peter Egler**

Head Trade Promotion

Federal Department of Economic Affairs FDEA, State Secretariat for Economic Affairs SECO, Economic Cooperation and Development

# 1. The need for policy innovations

## The governance challenge

Today's societal challenges, such as climate and demographic change and the scarcity of natural resources, have been increasingly shaping the public debate on sustainable development and the provision of common goods. Traditionally, it has been the responsibility of public actors to deal with such challenges. However, the latter are complex, interconnected and systemic in nature and can hardly be addressed by national governments alone.<sup>2</sup>

There is a need for new governance mechanisms and policy innovations at all levels to tackle the governance challenge.

Firstly, unilateral actions by national governments through traditional governing approaches are not effective and sufficient anymore to solve such complex problems. Secondly, governments might often need the capacity and resources of businesses, such as expertise, innovation potential and financial means, in order to adequately address these challenges. Lastly, tackling sustainable-development issues requires an inclusive and collaborative approach if it is to foster legitimate governance, political effectiveness and policy efficiency.<sup>3</sup>

Given these factors, there is a gap between public actors' capabilities to cope with sustainability issues and the societal expectations. In order to close this gap, there is a need for new governance mechanisms and institutional arrangements at different levels. The latter refer especially to the inclusion of private actors (e.g., companies and CSOs) in alternative governance structures and processes to address the above-mentioned challenges. At least since the 2002 World Summit on Sustainable Development in Johannesburg, public-private collaboration has been identified as a new paradigm for tackling global societal challenges.<sup>4</sup> Ten years later, the final declaration of the Rio+20 conference has emphasised that "the implementation of sus-

tainable development will depend on active engagement of both the public and private sectors".<sup>5</sup>

## Collective business engagement

Empirical observations indicate that the private sector has been active in tackling sustainability challenges through responsible behaviour. This is especially true for companies whose efforts (referred to as CR) relate to three levels: (1) core business operations, (2) relations with local communities and (3) public policy and framework conditions of business operations. In fact, companies have been showing more and more willingness to work for the common good. For instance, business representatives made more than 200 related commitments just at the Corporate Sustainability Forum held in Rio de Janeiro in 2012.<sup>6</sup>

In this regard, there are at least two reasons why it is in companies' long-term self-interest to collectively engage in addressing sustainability challenges: Firstly, in many cases, sustainable challenges endanger the enabling environment of private companies themselves. Through collaboration, business actors can create a level playing field or even avoid public regulation. Secondly, societal expectations related to business operations are rising. This is due to the impacts (negative externalities) in the communities and regions they operate in and to the increasing involvement of private actors in the provision of common goods. As a result, through engagement, companies can increase the degree of trust within society and ensure their licence to operate.

Although individual efforts of companies' engagement might sometimes be effective, they often have a limited impact or lead to competi-



tive disadvantages. In order to avoid such negative effects and maximise the results of such efforts, companies have started collaborating with their peers and other stakeholders more frequently. As recent practice shows, collaboration

between companies, public actors and CSOs at all levels increases the impact of CR and, hence, contributes to addressing the above-mentioned governance challenge.

## 2. Self- and co-regulation as governance approaches

### Institutional and policy innovations through self- and co-regulation

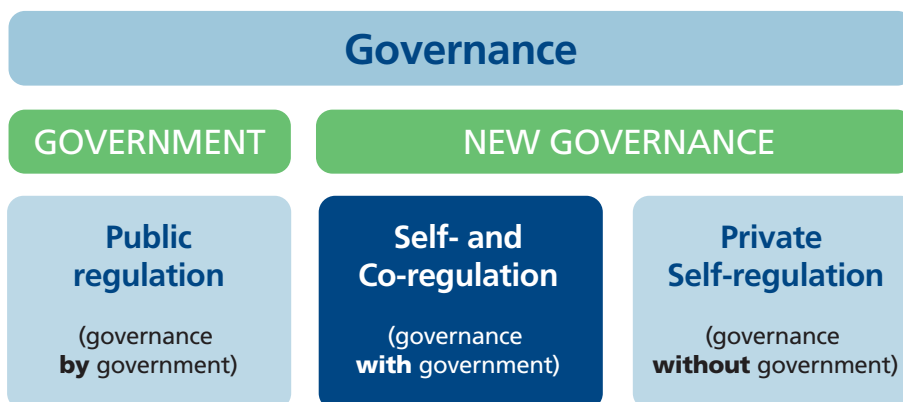
In order to tackle sustainability issues adequately, there is a need for institutional and policy innovations as alternatives to traditional governing approaches.<sup>7</sup> In theory and practice, such approaches are referred to as “new governance” as opposed to “government” or “public regulation”. Except in the case of purely private

self-regulation, which is not among the focuses of this study, self- and co-regulation represent a broad range of institutional arrangements in which public and private actors collaborate (see Box 1). Correspondingly, self- and co-regulation refer to all types of public-private collaboration, throughout the policy cycle ranging from public adaptation of private regulation (e.g., social dialogues in corporatist systems) to public consultation of private actors.<sup>8</sup>

Self- and co-regulation can help overcome the constraints of the traditional governing approaches and adequately address societal challenges.

#### Box 1: Types of governance

In this study, governance is understood as a broad range of institutional arrangements of collaborative action – structures and processes – to “produce and implement collective rules or provides collective goods”. Governance includes traditional public regulation (governance **by** government), public-private collaboration (governance **with** government) and private self-regulation (governance **without** government).



Source: Adapted from Börzel and Risse 2010.

The outputs of self- and co-regulation are not necessarily collective norms or rules (e.g., codes of conduct). Instead, they might also include any type of institutionalised structures and processes aiming at the provision of common goods, such as establishing a dialogue platform or fostering a common understanding of a problem. Although generally voluntary, self- and co-regulation might differ in terms of the degree of obligation they impose on addressees (see next section). However, a common feature of self- and co-regulation is their collaborative and inclusive nature.

### Benefits for public actors and society at large

Involving private actors in governance through self- and co-regulation has several advantages for public authorities. Firstly, governance problems are always problems of public authorities because dealing with such problems is their most important task. In this regard, companies can help public actors by providing common goods (e.g., environmental sustainability, health or market efficiency). Secondly, such forms of governance are less coercive and more inclusive, which often results in their being viewed as more legitimate. As a result, they generate wider acceptance among companies due to lower compliance costs, which can sometimes make these forms of governance even more effective than public regulation. Thirdly, such instruments are less costly and more flexible than traditional governance approaches, which results in higher efficiency.<sup>9</sup>

Therefore, from a societal perspective, one would like to see governments recognise the potential of self- and co-regulation as complements to public regulation and subsequently adapt their policies in a way that makes it possi-

ble for committed private actors to be included in governance structures and processes. However, such governance mechanisms should not be used arbitrarily. Rather, doing so should be based on a careful analysis of the specific context and of whether different types of mechanisms might lead to good governance in terms of legitimacy, effectiveness and efficiency. This will increase governments' problem-solving capacity and the quality of governance as a whole. At the same time, it can enhance the credibility and acceptance of self- and co-regulation within society at large.

Furthermore, in order to improve the odds that self- and co-regulation succeed, public actors could make sure that they have sufficient capacity, know-how and knowledge to set up and manage a public-private-collaboration. If this is not the case, there are several steps that governments can take to overcome such deficits. As has been shown within the UN system, the public sector can gather practical knowledge on, assume a strategic approach towards and enhance institutional innovations for public-private collaboration.<sup>10</sup>

In sum, self- and co-regulation represent governance mechanisms that are very well suited to narrow the expectations-capability gap of traditional governing approaches as long as certain criteria are met (see below). They pool together the resources and expertise of different stakeholders and increase the short- and long-term impacts of their mutual endeavours. As a result, self- and co-regulation are seen as legitimate, effective and efficient institutional innovations that complement traditional governance approaches.

Self- and co-regulation can be legitimate, effective and efficient complements to traditional governance approaches.

### Narrowing the scope of self- and co-regulation

Self- and co-regulation are often-used concepts in the field of CR due to their potential to enable companies take account of their responsibility. This can be seen, for example, in the European Commission's most recent communication on CR, which identifies self- and co-regulation as "important means" that can increase the impact of CR.<sup>11</sup>

As already mentioned, addressing sustainability issues requires new governance structures and processes that allow public and private actors to collaborate in solving common problems. However, such governance mechanisms work better when adapted to the particular context in which they are embedded.<sup>12</sup> Doing so entails narrowing the scope of self- and co-regulation in order to create the structures, set the processes and involve the actors best-suited for achieving the desired outcomes.

In this study, we focus on public-private collaboration between companies from the same industry sector, national governments and, in most cases, other stakeholders, such as CSOs. On the one hand, self- and co-regulation can be particularly successful at the national and regional levels because national governments are still the main actors in public policy. Although their steering capacity might have diminished, they still possess unique resources, such as enforcement capacity and legitimate rule of law.<sup>13</sup> Furthermore, even if the above-mentioned societal challenges are generally global in scope, they still require implementation at the local level.<sup>14</sup> In this respect, the national level often serves as a link between the global and local levels through the up- and downscaling of self- and co-regulation, such as the Responsible Care

programme or the Business Social Compliance Initiative (BSCI). In addition, business responsibility can be made specific at the national level in terms of challenges, actors and issues. Lastly, while global self- and co-regulation mainly target multinational companies, at the national level, such structures and processes can have broader impact and outreach, especially with regard to small and medium-sized enterprises.

On the other hand, the sector-specific approach to CR offers a springboard for companies to collaborate with their peers, public actors and other stakeholders.<sup>15</sup> Since companies from the same sector deal with similar sustainability issues and stakeholders, they often share a similar understanding of the consequences of societal problems. Likewise, a sector-specific approach forges a link between global challenges and the responsibilities of individual companies. Indeed, sustainable development becomes more tangible and practical as huge challenges become sector issues, as the "global economy" is boiled down to a concrete number of firms and as abstract terms are transformed into concrete, manageable responsibilities.

Moreover, there are already well-known examples of this approach at the international level, such as the sector supplements of the Global Reporting Initiative (GRI) framework, the Equator Principles in the financial sector, standards like those set by the Forest Stewardship Council (FSC) and the Extractives Industry Transparency Initiative (EITI), and a number of European Commission initiatives. At the same time, there is only scattered evidence of initiatives at the national and regional levels, and no reliable overview or analysis of such initiatives has been made so far.

Geographical and sector focuses can increase the impact of self- and co-regulation.

### 3. Sector-specific initiatives as forms of self- and co-regulation

Within sector-specific initiatives public and private actors can pool their resources and work together to address sector-specific challenges while tackling societal concerns.

#### Sector-specific initiatives as governance mechanisms

Sector-specific initiatives with government involvement are forms of self- and co-regulation that can help to overcome the governance challenges by adequately tackling sustainability issues. They represent different types of multi-stakeholder collaborations or industry-wide action in which public authorities (e.g., national ministries, regulatory agencies, etc.) and private actors (e.g., companies from the same industry sector and CSOs) pool their resources and work together to address sector-specific challenges to the operating environment of companies, such as supply-chain management or a lack of trust within society at large, while tackling societal concerns at the same time. These initiatives are issue-driven, and they have dynamic structures and processes that can change over the course of collaboration.<sup>16</sup> Furthermore, they can assume various organisational forms (e.g., roundtables, labels, associations, networks, partnerships, etc.) and can accordingly be used to achieve different goals.

#### Types of sector-specific initiatives

We have identified four types of sector-specific initiatives based on previous work on the role of governments in promoting responsible business behaviour: awareness-raising, partnering, soft law and mandating (see Box 2).<sup>17</sup> The four types have different goals and rationales and represent different types of public-private collaboration. For example, while awareness-raising initiatives are primarily aimed at fostering a common understanding of CR, mandating ones set minimal standards of behaviour.

Within the applied typology, initiatives may sometimes combine several modes of collaboration. For instance, a partnering initiative may be formed to launch a sectoral CR award, which corresponds to the awareness-raising type. In such a case, the purpose of the initiative is decisive in determining its classification. Thus, with the example above, this would be awareness-raising because the initiative was specifically formed to raise awareness through an award.

**Box 2: Types of sector-specific initiatives**

Type	Definition	Examples
<b>Awareness-raising</b>	Initiatives that create a common understanding of CR and provide incentives for business to adopt and implement it	Award schemes, conferences, information platforms, campaigns, training and capacity-building measures, toolkits, etc.
<b>Partnering</b>	Project-like initiatives that combine the expertise and resources of business with those of the public sector and other societal actors to address CR issues	Public-private partnerships, multi-stakeholder initiatives, etc.
<b>Soft law</b>	Non-binding regulatory initiatives that promote CR through voluntary standards. They are often the outputs of self- and co-regulation	Corporate governance codes, codes of conduct, international principles, CR reporting guidelines, sustainable public-procurement procedures, etc.
<b>Mandating</b>	Initiatives with a binding element that set and enforce minimum standards in CR-relevant areas without specifying the exact form of compliance	Regulations for pension funds, stock-exchange regulations, laws on CR reporting, etc.

Source: Adapted from Peters and Röß 2010.

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**Variety of sector-specific initiatives**

Over the course of our research, we examined 65 sector-specific initiatives in the eight countries in focus.<sup>18</sup> Out of these, 49 belong to the awareness-raising and partnering types. In contrast, we only found two mandating initiatives (see Box 3).

Although the 65 initiatives are relatively evenly distributed among all industry sectors,<sup>19</sup> certain industries have varying degrees of affinity for certain types of initiatives. For example, while most soft-law initiatives are to be found in the construction sector, awareness-raising is the most common type in the wholesale and retail trade (WRT) sector. Interestingly, the financial services sector is the only sector in which we found mandating CR initiatives. In addition, these “patterns of affinity” can be generally observed across the eight countries despite their cultural and socio-economic differences (see Appendix).

Furthermore, similar types of initiatives exist in parallel across different countries and/or levels. These often develop within different enabling conditions and can be successful despite their different genesis and ownership. For instance, low-energy housing initiatives – such as Switzerland’s *Minergie*, France’s *Effinergie* and Germany’s *Passivhaus*<sup>20</sup> – have the same aim. However, they were initiated by different groups of actors and demonstrate varying degrees of government involvement. Similarly, the German *AVE-Sektorenmodell* was scaled up to the European level to become the Business Social Compliance Initiative (BSCI). Unlike its German predecessor, BSCI does not directly involve public actors. The same holds true for Responsible Care, a purely private global initiative whose national chapters cooperate with governments on certain issues. However, in the case of Poland, the government is involved in the governance structure of the national chapter (see Appendix).

Certain sectors demonstrate affinity for certain types of initiatives.

**Box 3: Number and types of sector-specific initiatives**

Awareness-raising and partnering are the prevalent types of sector-specific initiatives.

	Total	Awareness-raising	Partnering	Soft law	Mandating
<b>Total</b>	<b>65</b>	<b>26</b>	<b>23</b>	<b>14</b>	<b>2</b>
<b>Chemicals</b>	5	2	3	-	-
<b>Construction</b>	15	3	3	9	-
<b>WRT</b>	19	11	5	3	-
<b>ICT</b>	11	5	5	1	-
<b>Financial services</b>	15	5	7	1	2

Source: Beschoner et al. 2013.

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### Role of government in sector-specific initiatives

Governments can play four different roles in sector-specific initiatives.

The illustrative examples featured in this study show that public actors (e.g., national and regional ministries, regulatory agencies and other public institutions) can play four roles within public-private collaboration, which in turn correspond to different degrees of involvement (see Box 4).

As different types of sector-specific initiatives usually pursue different goals, the role of public actors varies substantially. However, certain patterns can be identified: *Contributing* and

*managing* roles are the most common ones for public actors in sector-specific initiatives and can be observed in each type of initiative. While *contributing* is generally related to financial assistance, *managing* refers to assuming steering and monitoring functions. At the same time, public actors also play a *facilitating* role in all types of initiatives. This role is particularly related to (co-)launching initiatives. Lastly, public actors also assume a *regulating* role, especially in soft-law and mandating initiatives. In soft-law initiatives, in addition to setting standards, they often lead by example by being addressees of such regulations themselves.

#### Box 4: Role of government in sector-specific initiatives

Roles	Examples
<b>Contributing</b>	Providing financial, technical and/or organisational assistance (e.g., reporting, supplying know-how, creating content or organising events)
<b>Facilitating</b>	(Co-)developing or serving as a patron of the initiatives; hosting the meetings of working groups; being an active member of a multi-stakeholder forum
<b>Managing</b>	Engaging in governance structures (e.g., steering committees, expert groups); assuming intermediary or monitoring functions to guarantee that companies fulfil commitments
<b>Regulating</b>	Leading by example (i.e., creating standards for their own behaviour); encouraging private engagement; setting minimum standards

Source: Hajduk and Simeonov 2013.

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Awareness-raising

Awareness-raising



Partnering

Partnering

The most significant role that public actors play in awareness-raising initiatives is that of *contributing* and *managing*. On the one hand, public actors provide mostly funding, but also communication and technical support. Moreover, governments are involved in the *managing* of sector-specific initiatives through steering and monitoring activities. Lastly, public actors also play active *facilitating* roles, especially as initiators of such initiatives, which might often contribute to good performance.

In partnering initiatives, public actors are crucial at the beginning of the process, assuming *facilitating* and *contributing* roles. On the one hand, governments provide financial assistance, thereby making such initiatives viable in the first place. On the other, they are often (co-)initiators of such initiatives and involved as individual members or patrons. Besides, public actors often participate in the *management* of such initiatives (e.g., in steering committees).

The role of government depends on the type of initiative.



### Soft law

Similar to partnering initiatives, the most common roles that public actors play within soft-law initiatives are *contributing* and *facilitating*. Regarding the former, they provide financial support – though it is often not substantial and limited to member fees and other small contributions – as well as technical assistance and know-how. Regarding the latter, public actors often serve as (co-)initiators and patrons of such initiatives, thereby lending credibility to soft regulation.

The development of self- and co-regulation depends on the particular problem to be addressed through public-private collaboration.

In contrast to awareness-raising and partnering initiatives, however, soft-law initiatives also involve governments as *regulators*. Public actors often participate in the definition of certain standards or encourage companies to participate voluntarily. Especially in public-procurement intensive sectors, such as construction and wholesale and retail, public actors can themselves be among the targets of such regulation. Lastly, public actors frequently perform monitoring functions in soft-law initiatives, which seems to play a significant role in determining whether they perform well.



### Mandating

Although we only identified two mandating initiatives in the course of our research, it is still possible to provide a basic idea about the role of public actors by taking into account their general features. Correspondingly, public actors play a key role as regulators (i.e., standard-set-

ters) and managers, especially in terms of monitoring, and sometimes also provide assistance and technical know-how.

In sum, the four roles that governments play in sector-specific initiatives find expression in four types of sector-specific initiatives according to their goals and rationales: awareness-raising, partnering, soft law and mandating. Interestingly, if the rarer mandating type is disregarded, one sees that none of the other types is particularly dominant within the eight countries despite their different types of market economies, corporatist traditions and governmental CR policies.<sup>21</sup> Rather, a more important factor in determining the type of initiative is the concrete problem in a given industry and/or country that needs to be addressed and solved through public-private collaboration.

### Role of private actors

As these four roles of government suggest, public actors do not necessarily have to be among the initiators of sector-specific initiatives in order to promote them. In fact, in many cases, they join initiatives that were launched by solely private actors, such as e trade associations, business networks, individual companies and CSOs, at an earlier stage.

The role of trade associations deserves particular mention: Whenever public actors have not been initially involved in launching a sector-specific initiative, this role has usually been played by trade associations. Indeed, they have been initiators and decisive multipliers of CR initiatives because they are natural intermediaries between companies that are otherwise competitors. At the same time, some initiatives have also been launched by individual companies, business or CR networks.



## 4. Success factors of sector-specific initiatives

### Good governance through sector-specific initiatives

In order to adequately address sustainability challenges, self- and co-regulation should conform to the very same principles that characterise traditional forms of governance – that is, they should be legitimate, effective and efficient. Accordingly, successful sector-specific initiatives should offer business opportunities while fulfilling societal expectations, provide short- and long-term benefits, and demonstrate positive cost-benefit relationships for both companies and public actors.

### Legitimacy

In order to be perceived as legitimate by both public and private actors, sector-specific initiatives should guarantee the fairness and ownership of structures, processes and outcomes. Likewise, they must create both business opportunities and societal outcomes. While business actors engage in order to address a challenge within their business environment, public authorities and CSOs do so in order to solve a certain societal problem because they are accountable to society at large.

### Effectiveness

Sector-specific initiatives should be effective in the sense that they offer short- and long-term benefits for companies and generate societal impacts. Ensuring long-term competitiveness is crucial for companies. By engaging in such initiatives, companies can contribute to the creation of a level playing field and relative advantages or increase their know-how and reputation. However, short-term effects, such as

immediate financial benefits and opportunities for product and/or process innovations, can be decisive for business engagement. From the public perspective, apart from achieving direct societal outcomes, the long-term success of sector-specific initiatives also depends on their continuity and scalability to other industries and countries, which increases their long-term outreach and impact.

### Efficiency

The performance of sector-specific initiatives also depends on the relationship between inputs and outputs. For businesses, efficiency is linked to cost-benefit analysis and, particularly, to the initial investment they must make in order to engage. Whereas initial cost-neutrality might still make it sensible for companies to get involved, this is not feasible if engagement entails higher costs than benefits in the long run. For the public sector, efficiency relates to the public resources invested not only in funding, but also in launching and moderating sector-specific initiatives in addition to their societal outcomes and impacts.

### Five success factors of sector-specific initiatives

Sector-specific initiatives represent forms of self- and co-regulation that have a great potential to promote public-private collaboration and thereby address societal problems as long as they fulfil the three conditions for good governance mentioned above. In practice, it is rarely possible that sector-specific initiatives fulfil all three conditions at the same time. For example, initiatives aiming at building trust will probably pay particular attention to legitimacy.

Performance of sector-specific initiatives depends on their legitimacy, effectiveness and efficiency.

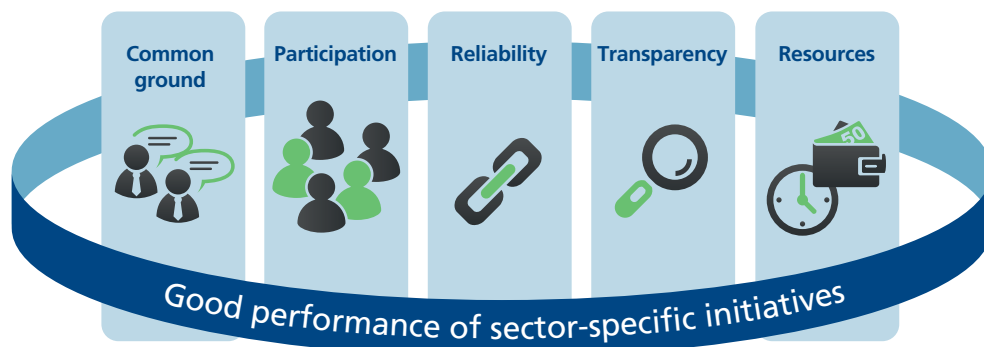
There are five success factors for the performance of an ideal sector-specific initiative.

By contrast, those striving for quick wins on specific issues may pursue high effectiveness while perhaps deliberately sacrificing a degree of legitimacy.

It is difficult to compare directly the performance of different types of sector-specific initiatives owing to their varying goals and rationales and the different contexts in which they were created. Nevertheless, in the course of our research, we developed several performance criteria for evaluating sector-specific initiatives regardless of their particular type. The criteria were informed by interviews with experts and an extensive review of the existing literature, and they assume the construction of an ideal initiative (see Appendix).<sup>22</sup>

Against this backdrop, we identified five success factors of sector-specific initiatives. Correspondingly, successful initiatives: (1) offer a *common ground* for public and private actors in terms of a common understanding of problems and shared goals; (2) generate high degrees of *participation* by both public and private actors; (3) prove *reliable* in terms of having feasible and measurable goals; (4) offer *transparency* in terms of providing information and permitting evaluation; and (5) are sustainably designed in terms of *resources* and duration of support (see Box 5).

#### Box 5: Success factors of sector-specific initiatives



Source: Bertelsmann Stiftung.

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### Common ground

Common ground refers to establishing a common problem definition, language and goals among actors with potentially diverging interests and preferences.<sup>23</sup> It is an essential element of collaboration between different stakeholders because it fosters trust, respect and a sense of equity. In order to establish common ground, sector-specific initiatives have to demonstrate a link between the core business of companies and the societal problem that needs to be solved. Moreover, both companies and public actors should view the challenges addressed by such initiatives as relevant. If challenges are “contested” – that is, if they are only recognised by part of a sector – they might often lack the necessary legitimacy.

#### **Initiatief Duurzame Handel (Netherlands)**

*Initiatief Duurzame Handel* (IDH) employs matched funding to direct money to investments for building sustainable supply chains worldwide. All projects are voluntary and initiated by participating companies. IDH is based on a “win-win” principle, with the idea being that both Western companies and societies in the resource-rich countries benefit from sustainable development in the developing world. By participating in the initiative, companies have an opportunity to introduce new products to Western markets as well as to develop and exchange knowledge concerning the challenge of shaping innovative, sustainable supply chains and fair international trade in collaboration with CSOs.



### Participation

The success of sector-specific initiatives also depends on broad stakeholder participation, which entails high degrees of business commitment and inclusion of other stakeholders. In general, collaboration between companies tends to be successful if it includes a small number of large companies or sector leaders.<sup>24</sup> However, in order to have a greater impact, initiatives should reach out to include as many companies as possible. In this regard, the participation of businesses and trade associations can be instrumental.<sup>25</sup> Likewise, performance also depends on the degree to which other stakeholders (e.g., CSOs) are included. While observation limits those actors to a passive role, having an active stake – either through formal structures or procedural involvement – tends to boost performance.

#### **Forum Waschen (Germany)**

*Forum Waschen* is an awareness-raising initiative launched by the trade association *Industrieverband Körperpflege- und Waschmittel* (IKW). It aims to give consumers practical, credible and unbiased information on sustainable cleaning and washing. The initiative demonstrates high levels of business commitment through the engagement of both the IKW and its corporate members, which play an active role. Likewise, the broad participation of non-economic actors – including consumer organisations, trade unions and public bodies – is at the heart of the initiative. All types of participants are considered equal, and all structures and processes are open to all. Furthermore, in order to be published, documents must be approved by all participants, which gives non-economic actors a controlling role.

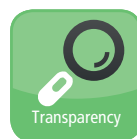


### Reliability

Sector-specific initiatives are more likely to perform well when their goals are feasible and tangible. Likewise, the more specific the goals, the easier it is to tell whether they have been achieved. In contrast, generic goals are difficult to tackle and may lead to disappointment on the part of the stakeholders given the resources they have invested. Moreover, specific goals are easier to measure and therefore foster accountability, which is very important to companies and public authorities. While measurable outputs usually convey relevant information (e.g., number of audits, click rates or contracts), outcomes or results are preferable.

#### **Effinergie (France)**

*Effinergie* is an association founded in 2006 in order to bundle the existing know-how and develop a French certification standard for low-energy housing. An expert working group conceptualised and published what was the first standard for the energy performance of new buildings in 2007. Since *Effinergie* specifies the parameters for new buildings and renovations procedures, its goals are quite specific and easy to measure. In collaboration with the French Environmental Agency, the association created the *Observatoire BBC*, which raises awareness on low-energy buildings. It provides related information as well as profiles on low-energy building projects in the different French regions. It also provides the wider public with information on the number and types of certified buildings across the country.



### Transparency

Since even the best measurement system is useless if its numbers are not accessible to the wider public, transparency is essential for an initiative's good performance. This can be done either through disclosure of information (e.g., on websites, in newsletters or in conversation) or through more formalized reporting, which often assumes a standardised and comparable format (e.g., GRI reports). Evaluation is crucial to establishing transparency, especially if considerable public funds are involved. An internal or in-house evaluation can be done by any participant and be rather informal. However, an external evaluation performed by a third party in a methodical manner is generally more objective and reliable and, therefore, useful.

#### **Frivillig gældsrådgivning (Denmark)**

*Frivillig gældsrådgivning* (FG) is a partnering initiative between the Ministry of Social Affairs and Integration, the Danish Bankers Association and various NGOs. It helps disadvantaged people gain a general overview of their personal financial situations and motivates them to pay off their debts. Beyond simple outputs (e.g., number of consulted persons), FG's goals refer to aspects such as client satisfaction with the initiative or the experiences of the bankers who have voluntarily participated in the project. Such information was included in an external report on the FG published by a third party, which confirmed the initiative's good performance.



## Resources

Each type of collaboration requires certain resources. They comprise financial means, human resources, technical support and the start-up and operating costs required to launch and manage the collaboration process. While funding is not a determinant of success, practice shows that it might be crucial under certain circumstances. For instance, the initial investment level can often present companies with a hurdle to engagement, thereby making government support very important at this stage. In this regard, companies believe that sector-specific initiatives should entail low costs, while public actors would like these costs to be shared and decrease over time. In addition, sector-specific initiatives often depend on human and material resources. This is especially the case with long-term initiatives, which sometimes require more institutionalised structures.

### **Actionsanté (Switzerland)**

*Actionsanté* is a partnering initiative between the Swiss Federal Office of Public Health (FOPH) and large companies from the wholesale and retail trade and food sectors. It aims to improve health by promoting a physically active lifestyle and appropriate nutrition. *Actionsanté's* lean and clear design is one of its key advantages. Instead of having to pay initial costs to join the initiative, companies must sign a declaration of intent concerning modifications of their core business operations. Hence, participation in *Actionsanté* still implies certain costs for companies, but they can be regarded as long-term investments. Likewise, there are no considerable costs for the government apart from hosting the initiative's office and running an expert group.

## 5. Strengths and limitations of sector-specific initiatives

Each type of initiative has particular strengths and limitations that determine its overall performance.

Due to their differing natures, each type of sector-specific initiative has its own performance-related strengths and limitations in terms of legitimacy, effectiveness and efficiency. It is almost impossible to fulfil all three performance criteria, as in practice there is often a trade-off

between them. In this regard, as can be seen in Box 6, the ability to offer a legitimate, effective and efficient complement to traditional governance in tackling societal problems varies across the four types.

**Box 6: Performance of different types of sector-specific initiatives**

	Awareness-raising	Partnering	Soft law	Mandating
<b>Legitimacy</b> Business vs. Public case	moderate	high	moderate	moderate
<b>Effectiveness</b> Short- vs. Long-term benefits	moderate	high	high	low
<b>Efficiency</b> Costs vs. Benefits	high	moderate	moderate	moderate

Source: Hajduk and Simeonov 2013.

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Awareness-raising

Whereas awareness-raising initiatives are seen as legitimate by companies, this is often not the case when it comes to broader society. Despite their low initial investment, such initiatives often fail to result in tangible cost benefits and direct social outcomes. At the same time, since their impact on competitiveness depends on the companies themselves and how they deal with non-monetary benefits, such as increased knowledge and know-how, their effectiveness might be often limited. However, such initiatives can be considered efficient since they create (mostly long-term) value for both business and public actors without forcing them to invest too many resources.



Partnering

Partnering initiatives generally strike a balance between public and private concerns and offer win-win situations. Correspondingly, they demonstrate high legitimacy and effectiveness, especially due to their direct societal outcomes as a result of their practical goals and project-like nature. A basic limitation of partnering initiatives is their efficiency; they are often costly and require high initial and operating costs on the part of participants. This might be due to their concrete, project-oriented character, which requires substantial investment to achieve the intended goals. Although they offer monetary benefits or added value in the long term, their short-term cost-benefit relationships are rather moderate despite their high potential to foster innovation. Therefore, they might be more attractive for larger companies, which can more easily afford to invest in such projects.



### Soft law

The legitimacy of soft-law initiatives is double-edged. On the one hand, they tend to be seen as legitimate by the public since they set certain standards of behaviour. However, they often suffer from a lack of credibility. On the other, companies often do not regard them as legitimate, especially when they are government-led (“pull-initiatives”). At the same time, companies still prefer them to public legislation and sometimes even initiate soft-law initiatives themselves (“push initiatives”). In terms of effectiveness, although soft-law initiatives do not necessarily create short-term monetary benefits, they do foster innovation and encourage competitiveness in the long run. Likewise, such initiatives are considered appropriate and usually generate a high level of business commitment. Lastly, although the efficiency of soft-law initiatives might be contested due to the high amount of initial investments required, such initiatives generate direct societal outcomes and generally necessitate lower public expenditures than public regulation does.



### Mandating

Mandating initiatives are the least common type of sector-specific initiatives. As observed in practice, they have an ambivalent degree of legitimacy. While society at large tends to view them as legitimate, they sometimes exclude third actors (e.g., CSOs) from participation. In contrast, companies generally regard such initiatives as inappropriate, though they sometimes practice “responsible lobbying” and engage in policy dialogue with public actors in order to establish certain norms and standards. The effectiveness of such initiatives might be limited and depend on the collaboration of companies because, in contrast to public regulation, they do not have sanctioning mechanisms. In fact, our research suggests that such initiatives may fail exactly due to a lack of cooperation, which may often be encouraged by substantial monitoring costs for public authorities and high implementation and compliance costs for companies. Lastly, mandating initiatives might also not be very efficient because their short- and long-term results do not seem to offset the above-mentioned deficits.

## 6. Recommendations for policymakers

Through sector-specific initiatives, policymakers can foster public-private collaboration and thereby enable the creation of new governance instruments that help address societal problems. Based on the five success factors we identified and the empirical evaluation of the cases in this study, we have defined several steps that policymakers can take in order to increase the performance of self- and co-regulation through sector-specific initiatives. However, these can also be helpful to other stakeholders, such as business and trade associations or individual companies, that are actively involved in developing and managing such initiatives.

### ✓ Help sector-specific CR grow strong roots

One of the central preconditions for the success of self- and co-regulation in general is the degree to which they are institutionalised or, in other words, embedded within political structures and processes. The same holds true for sector-specific initiatives. Therefore, in order to promote self- and co-regulation through sector-specific CR, the first thing public actors could do is establish such governance mechanisms in order to help them grow strong institutional roots.

As can be seen in the Appendix, governments across Europe have been practicing three institutional approaches to sector-specific CR: evolutionary, intermediary and strategic (Box A1). Regarding the first, public actors can promote sector-specific CR by practicing new governance through public institutions (e.g., ministries or regulatory agencies) or by creating multi-stakeholder institutions (e.g., forums or working groups) in which public actors are one among several stakeholders. As organisational backbone is regarded as essential for increasing social impact,<sup>26</sup> creating such institutions

might be advisable. Secondly, public actors can set up intermediary institutions to serve as hubs for public-private collaboration at the sectoral level. Thirdly, they can integrate sector-specific clauses and measures into economic and CR strategies as well as (co-)develop strategies for particular sectors.

### ✓ Focus on solutions

Another thing that public actors can do to promote self- and co-regulation is to consider the appropriate type of public-private collaboration with regard to the problem to be solved. As demonstrated above, although there are four general types of sector-specific initiatives, these vary widely in terms of their specific goals and rationales. Likewise, each type has certain performance-related strengths and limitations in terms of their legitimacy, effectiveness and efficiency. Therefore, especially in public-led or jointly launched initiatives, public actors can make sure that they have a say in choosing the type of initiatives that is best suited to solve the particular societal problem.

### ✓ Stay involved through the entire process

Public actors can contribute to the success of self- and co-regulation by assuming appropriate roles in such structures and processes. While the roles public actors perform often depend on the initiative's type, we identified two roles that can particularly advance good performance of sector-specific initiatives: *facilitating* and *managing*. On the one hand, initiatives (co-)launched by public actors perform better than those that public actors joined at a later stage. On the other, having public actors steer and monitor sector-specific initiatives increases their chances of success.



As practice shows, governments can also play *supporting* and *regulating* roles. But the results of our study indicate that these roles are less crucial. Regarding the former, although public actors played a *supporting* role in almost all of the initiatives in our evaluation, neither the volume nor the source of the support appeared decisive for performance. Regarding the latter, governments only played a *regulating* role in soft-law and mandating initiatives. But, even there, their *regulating* actions did not necessarily improve performance.

### **Establish the conditions for success**

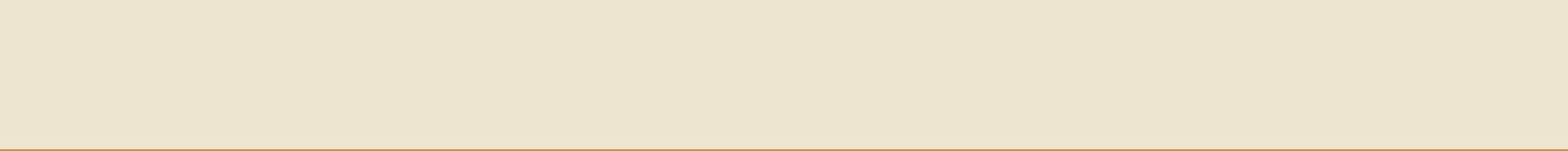
Taking into account the important role of public actors as (co-)initiators of self- and co-regulation, they can contribute to success by providing the following five factors: First, they can **enable common ground**. In particular, they can work to identify interests shared by business and society. Indeed, public actors can guarantee that sector-specific initiatives are conceptualised in such a way that they address legitimate societal concerns, approach problems at the structural level and can lead to direct societal outcomes. Having stakeholders participate in consultations can be helpful during the early phases of such processes.

Next, public actors can **promote stakeholder participation**. On the one hand, public actors can advance business commitment by collaborating with private-sector and trade associations in efforts to reach out to more companies. On the other, they can encourage the inclusion of other stakeholders, such as CSOs, by offering them greater roles and responsibilities. However, it should be kept in mind that the effectiveness of an initiative might suffer if its structures and processes are “too” inclusive.

Public actors can also **advance reliability** through their steering functions in sector-specific initiatives. In particular, they can formulate specific and measurable goals to serve as indicators for good performance. Doing so can be made simpler by using pre-established sets of indicators. One of the most widely used indicator frameworks is that of the Global Reporting Initiative (GRI), which has sector-specific supplements.<sup>27</sup>

Furthermore, public actors can **foster transparency** by disseminating information and allowing for impact assessment and/or evaluation. Regarding the former, governments can publish information via various communication channels and establish reporting systems based on the above-mentioned performance indicators. Regarding the latter, they can either perform in-house monitoring functions or commission third parties to conduct external evaluations.

Lastly, public actors can **provide support** especially in the initial phases of sector-specific initiatives. However, it is in the interest of broader society that providing financial support, in particular, is not of permanent character but, rather, draws on the potential of the private sector in the long term. Likewise, as several initiatives in our study show, governments can be very useful as providers of know-how and human resources or as communication hubs.



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## Government promotion of sector-specific CR in eight European countries

Our research shows that public actors across Europe have been practicing self- and co-regulation through a broad variety of sector-specific CR initiatives. Besides national and regional ministries, other public institutions, such as regulatory agencies and procurement offices,

have also been active in sector-specific initiatives. Based on empirical observations, we have identified three approaches to sector-specific CR that European governments have used in order to promote self- and co-regulation of business behaviour in industrial sectors (see Box A1).

### Box A1: Typology of governmental approaches to sector-specific CR

Approaches	Means	Examples
<b>Evolutionary</b>	Public institutions (ministries, regulatory agencies, etc.) within government-led and/or multi-stakeholder institutions (working groups, roundtables, etc.)	Industrial watches (Spain); Working Group on SRI (Poland); Federal Office of Public Health (Switzerland); Procurement Agency of the Ministry of the Interior (Germany)
<b>Intermediary</b>	Government-founded public or private institutions (e.g., nonprofit companies, foundations, etc.) launched to promote sector-specific CR	MVO Nederland (Netherlands); Waste & Resources Action Programme (UK); Observatoire BBC (France)
<b>Strategic</b>	Inclusion of sector-specific measures in CR strategies and development of sectoral strategies	Action Plan for CSR (Denmark); Strategy for Sustainable Construction (UK); Duurzaam inkopen (Netherlands)

Source: Hajduk and Simeonov 2013.

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### Evolutionary approach

This approach takes place within the mandate and the competencies of pre-existing institutions, such as ministries, regulatory agencies and public procurement agencies. On the one hand, such public actors may engage directly in sector-specific initiatives by launching or joining new types of governance mechanisms and institutional arrangements. On the other hand, public authorities may launch new institutions, such as stakeholder forums or working groups, in which the respective public actor is one among several actors. Despite necessitating additional administrative resources, the latter ap-

proach might generate more impact because such institutions develop their own agendas and often lead to longer-term commitment on the part of the actors. The “industrial watches” (*observatorios industriales*) in Spain are an example of this approach.

The “industrial watches” (*observatorios industriales*) are multi-stakeholder forums created by the Spanish Ministry of Industry, Tourism and Trade (MINETUR) in 2005 within the framework of the “Declaration for Social Dialogue 2004”. The aim was to create permanent discussion platforms for the 10 key

production sectors in Spain. The watches elaborate studies and reports and make policy recommendations to the government on the international competitiveness of these sectors. The forums are composed of representatives of ministries, trade unions and business associations and are coordinated and funded by MI-NETUR. Although not their explicit mandate, some of the Watches have started to make recommendations on environmental and social aspects and have turned into important players in the field of CR (see Appendix).<sup>28</sup>

### Intermediary approach

Some governments have promoted sector-specific CR through publicly founded and/or funded institutions explicitly dedicated to advancing (sector-specific) CR. The latter vary in terms of their legal and organisational forms as well as the spectrum of issues they deal with. What makes this different from the previous approach is that the government is involved indirectly, that is, through entities that might be public- or private-sector institutions.

*MVO Nederland* is an independent NGO founded in 2004 by the Dutch Ministry of Economic Affairs. Among other government-funded projects, it realises a programme together with over 70 sector associations in order to support them in concretising CR for their members. The government is represented in the multi-stakeholder Programme Council by the Ministry of Agriculture, Nature and Food Quality. The Council advises the MVO's board on strategic issues. *MVO Nederland* is supported by its partners.<sup>29</sup>

### Strategic approach

Public actors can promote sector-specific CR by integrating sector-specific measures into CR strategies (Danish Action Plan for CSR), by creating sector strategies that deal with the industry's sustainability (UK Strategy for Sustainable Construction), and/or by introducing sustainability in impact areas with sector-specific significance, such as the Dutch public procurement policy *Duurzaam inkopen*, which explicitly targets the wholesale and retail sector.

Already in 2008, the Danish government published a National Action Plan including sector-specific activities. Indeed, it announced its intention to create partnerships for climate responsibility in four sectors: investors, retail trade, construction and maritime affairs. In the new action plan from 2012, the government expanded its scope of sectors by adding guidelines for the fashion industry, and it furthered its activities within the shipping sector and its promotion of the Nordic eco-label.<sup>30</sup>

The following section presents the state of sector-specific CR in eight European countries. Besides a general overview, each country profile features the main actors and issues in the five industry sectors in question. All the information is based on the country reports featured in the book-length study (Beschorner et al. 2013).<sup>31</sup>

## Denmark



It is characteristic of Danish developments that public policy has played a significant role in how CR has been defined, debated and acted upon by business. So far, Danish governments have dedicated relatively few resources to sector-specific CR initiatives. Instead, their efforts have emphasised the necessity of a widespread mainstreaming of CR, especially among SMEs.

Most of the already existing sector-specific initiatives entail close, cross-sectoral collaboration via multi-stakeholder partnerships, which exemplifies the strengths of a coordinated and socially embedded market economy. They also illustrate the all-important role of government in the modern welfare state. Although the welfare-state model is under pressure, government participation, if only through funding, is a nec-

essary condition for the (continued) success of these projects.

Likewise, sector campaigns on business-driven social responsibility are included among the 30 activities outlined in the first Danish government action plan on CR, although only two such campaigns have actually been carried out (in collaboration with the relevant trade organizations). One has focused on agriculture; the other on fashion and textiles. However, in order to properly grasp and appreciate the governmental efforts, we must also take into account things such as the development of tools (e.g., *CSR Kompasset*, *Klimakompasset* and *Kommunikations-Kompasset*) that are general in nature but can also be tailored to meet company- and sector-specific needs.

Industry Sector	CR Actors	CR Issues
 <b>Chemicals</b> Share of GVA – 1.6 Share of workforce – 1.0	Individual companies (e.g., Cheminova)	Product safety
	Kemi & Life Science and Procesindustrien trade associations	Product safety; health; environment
	Danish Environmental Protection Agency / Ministry of Environment	Environment
 <b>Construction</b> Share of GVA – 5.5 Share of workforce – 6.5	Dansk Byggeri trade association	Energy efficiency and consumption
	Ministry of Climate, Energy and Building	Energy efficiency
	Ministry for Housing, Urban and Rural Affairs	Inclusion and integration
	Ministry of the Environment	Sustainable procurement
 <b>WRT</b> Share of GVA – 12.4 Share of workforce – 16.3	Danish International Development Agency / Ministry of Foreign Affairs	Fair trade
	Coop Denmark	Eco-friendly products
	Danish Veterinary and Food Administration / Ministry of Food, Agriculture and Fisheries	Healthy nutrition
	Danish Business Authority	Supply-chain management
 <b>ICT</b> Share of GVA – N/A Share of workforce – N/A	Denmark's National IT and Telecom Agency / Ministry of Science, Technology and Innovation	Sustainable IT; IT security; skills; access; welfare and health care solutions; governance
	Danish Agency for Digitisation / Ministry of Finance	Green IT; green procurement
	National Council for Children / Ministry of Social and Integration Affairs	Digital exclusion
 <b>Financial services</b> Share of GVA – 5.8 Share of workforce – 3.1	Individual financial institutions (e.g., banks, pension funds and insurance companies)	Socially responsible investment
	Ministry of Social and Integration Affairs; Danish Bankers Association	Customer relations

## France






The French government has been instrumental in furthering CR. However, in France, CR is more frequently discussed under the rubric of sustainable development (*développement durable*) than under that of responsibility. Despite the traditionally strong role of the French government, public actors do not necessarily dominate its CR initiatives. Instead, many social and environmental issues are addressed by associations and networks in which private and public actors collaborate, such as the *Grenelle de l'Environnement*.

There are not many sector-specific CR initiatives in France. One reason for this is the cross-sectoral character of public CR policy. Moreover, the concept of *territoire* also affects how CR initiatives are structured, as many are organised at a regional rather than industry-specific level in order to enable collaboration on

more eco-friendly products and production processes. Lastly, big companies are more oriented towards international (sectoral) initiatives.

In the few initiatives that do exist, public actors seldom play leading roles. Instead, they often support the engagement of civil society and business actors in order to create a level playing field, for example, by developing standards in accordance with international frameworks or by disseminating federal initiatives into all French *départements*. In other cases, CR initiatives are locally or regionally organised and geared towards bringing together different types of organisations and companies from various industries so that they can jointly address a particular CR issue. Furthermore, many towns, regions and *départements* organise business networks around CR and sustainable-development issues.



CR Actors	CR Issues	Industry Sector
Chemical industries association (UIC)	Employees; product stewardship and hazardous substances; RC topics	<b>Chemicals</b> Share of GVA – 1.2 Share of workforce – 0.5 
French Environmental and Energy Management Agency (ADEME); French regions; National Federation of Public Works (FNTP)	Low-energy housing	<b>Construction</b> Share of GVA – 6.5 Share of workforce – 7.0 
Observatoire BBC	Low-energy housing	
Individual companies (e.g., the supermarket chains Super U, Carrefour and Auchan)	Responsible (regional) sourcing (Super U, Auchan); various issues (Carrefour)	<b>WRT</b> Share of GVA – 10.0 Share of workforce – 12.8 
Various regions and towns	Fair trade	
Individual telecommunication companies (e.g., Orange, France Telecom, SFR)	Recycling; health and safety; nuisances (e.g., spam mail); philanthropic work; clients with disabilities; the safety of children online	<b>ICT</b> Share of GVA – N/A Share of workforce – 2.6 
Savings banks	Microloans; financial education	<b>Financial services</b> Share of GVA – 5.0 Share of workforce – 3.2 
Vigeo ratings agency	Social and environmental performance; socially responsible investment	






## Germany



Germany is considered the origin of the so-called “social market economy”, based on principles such as high density of labour regulation, workers’ codetermination on corporate boards and social dialogue between employers and employees. For this reason, Germany is often cited as an example of “implicit” CR, meaning that CR is embedded in the country’s institutions. This has changed with the government’s convening of a consultative, multi-stakeholder “CSR Forum”, the recent publication of an “action plan” and subsequent initiatives to foster CR.

While CR is becoming more explicit, it remains rooted in the country’s socioeconomic system. Features such as institutionalised social dialogue, the corporatist tradition and the moderating role of the state can be seen as expressions of collective action.

Despite the broad variety of sector-specific initiatives, the government’s new CR approach does not take sector-specific CR into account. This is a missed opportunity because public actors have already been active supporters of various sectoral initiatives that have grown organically from the interaction of different actors within a sector rather than being the result of an elaborated strategy.

Industry Sector	CR Actors	CR Issues
 <b>Chemicals</b> Share of GVA – 2.4 Share of workforce – 1.0	German chemical industry association	Health; safety; environment
	Employer organisation BAVC; trade union IGBCE	Responsible business; demographic change; drug consumption; vocational training
 <b>Construction</b> Share of GVA – 3.7 Share of workforce – 1.7	Federal Ministry of Transport, Building and Urban Development; Federal Environment Ministry	Sustainable building; illegal employment; bribery
	German Sustainable Building Council	Various aspects of the building life cycle
 <b>WRT</b> Share of GVA – 10.3 Share of workforce – 7.3	Federal Ministry of Food, Agriculture and Consumer Protection	Organic foods; fair trade products; responsible supply-chain management
	Federal Ministry for Economic Cooperation and Development	Fair trade; sustainable supply chains; working conditions
	Federation of German Consumer Organisations (vzbv)	Consumer protection
	German Retail Federation	Responsible product policy; sustainable consumption; labour standards; supply chains; environmental management systems; corporate citizenship
 <b>ICT</b> Share of GVA – 3.8 Share of workforce – 2.0	Procurement Office of the Federal Ministry of the Interior	Green public procurement
	Individual telecommunications companies (e.g., Deutsche Telekom, Telefónica, etc.)	Product safety and health; digital exclusion; climate change; sustainable product design; online safety for children
	Federal Association for Information Technology, Telecommunications and New Media (BITKOM)	Green IT; public procurement; climate change
 <b>Financial services</b> Share of GVA – 5.0 Share of workforce – 3.0	Federal Environment Ministry; Federal Environment Agency	Environmentally friendly technologies; green IT
	Federal Environment Ministry	Socially Responsible Investment
	Federal Ministry of Food, Agriculture and Consumer Protection	Consumer protection
	KfW banking group	Environmental and social aspects of project financing
	Savings and ethical banks (e.g., GLS)	Socially responsible banking



## Netherlands






CR has a long and rather successful tradition in Dutch politics and industry. In fact, Dutch companies number among those that have set highly respected CR benchmarks. The Dutch government holds that CR is not a government task but should be both voluntary and possibly profitable for business. Rather than imposing too much regulation, it aims to promote self-regulation among companies as well as to support Dutch companies in maintaining their leading positions in terms of CR.

The Dutch government has founded NGOs that promote sector-specific initiatives, mainly by sharing information, setting benchmarks and

forming conditions for collaboration (e.g., *MVO Nederland*). This enables businesses to shape CR initiatives in a way that allows them to see the advantages that CR brings to their activities as well as to contribute their specific knowledge to efforts fostering sustainable development.

In addition, the government applies strict sustainability criteria in the context of public procurement and on the financial market. Given the figures concerning the adoption of sustainable production and investment practices, the Dutch government's initiatives appear to have been effective thus far.



CR Actors	CR Issues	Industry Sector
Ministry of Economic Affairs, Agriculture and Innovation	Product safety	<b>Chemicals</b> Share of GVA – 2.7 Share of workforce – 5.8 
Individual companies (e.g., DSM N.V.)	Health; safety; environment	
Bouwend Nederland trade association	Fair operating procedures	<b>Construction</b> Share of GVA – 5.8 Share of workforce – 6.0 
Various bodies of the Dutch government	Anti-fraud initiatives; sustainability	
Dutch Green Building Council	Construction of sustainable housing	
Stichting Duurzaam Bouwmetaal	Sustainable sourcing and supply chain	
Ministry of Housing, Spatial Planning and the Environment	Carbon emissions	<b>WRT</b> Share of GVA – 19.0 (only retail) Share of workforce – 11.2 
Ministry of Economic Affairs, Agriculture and Innovation	Supply chain and fair trade	
Ministry of Foreign Affairs	Sustainable trade	<b>ICT</b> Share of GVA – 4.8 Share of workforce – 2.2 
ICT-Office trade association	Recycling	
Microsoft Netherlands	Sustainable supply chain	
MVO Nederland	Dangerous substances; supply-chain responsibility; working conditions	<b>Financial services</b> Share of GVA – 7.2 Share of workforce – 2.5 
Various financial institutions (e.g., banks, pension funds and insurance companies)	Socially Responsible Investment; microinsurances	
Dutch Association of Investors for Sustainable Development	Socially Responsible Investment	
MVO Nederland	Socially Responsible Investment	
Ministry of Economic Affairs, Agriculture and Innovation	Microcredits	

## Poland








The original roots of CR development in Poland differ from those of countries with long-standing market economies. CR in Poland appears to have been an adoption of Western models after the country's period of socioeconomic transition.

The turning point in the public sector's level of CR engagement was Poland's accession to the European Union in 2004. At the same time, a strong impulse for the adoption of CR came from multinational enterprises (MNEs) that brought in know-how and good practices through their Polish subsidiaries. Next to MNEs, trade partners and sectoral organisations have also numbered among the main drivers of CR in the country. However, the public sector has become more active in its promotion of CR in general, and the Polish government is currently working on a national CR policy.

Sector-specific CR initiatives are a rather new phenomenon in Poland. Their further development requires changes in many patterns of business behaviour as well as in the attitudes of the government, public institutions and society towards industry in general. Having recognised its importance, the government's efforts to promote CR to all enterprises and other stakeholders are being conducted at the national and, increasingly so, regional levels. However, this does not offer answers to the specific questions and problems of the various industrial sectors.

Lastly, the emergence of sector-specific CR initiatives in Poland can be seen as a consequence of the internal problems and characteristics of individual sectors. These can trigger action from regulatory bodies, legal authorities and civil society organisations, and they sometimes create a willingness among different companies and their stakeholders to work together to improve the particular sector's image, competitiveness and innovativeness.

Industry Sector	CR Actors	CR Issues
 <b>Chemicals</b> Share of GVA – 1.3 Share of workforce – 0.8	Polish Chamber of Chemical Industry	Health; safety; environment
	Ministry of Environment	Participation in governance of the Polish Responsible Care programme
 <b>Construction</b> Share of GVA – 7.0 Share of workforce – 7.6	N/A	N/A
 <b>WRT</b> Share of GVA – 18.0 Share of workforce – 7.0	Working Group on Sustainable Consumption / Ministry of Economy	Fair trade
	Polish Green Network	Fair trade
 <b>ICT</b> Share of GVA – N/A Share of workforce – N/A	Office of Electronic Communications	Corruption; monopolisation; fair competition; user protection; online safety of children; digital inclusion
	Telekomunikacja Polska SA	User safety; data protection; digital inclusion; online safety of children
 <b>Financial services</b> Share of GVA – 4.0 Share of workforce – 2.0-3.0	Polish Financial Supervision Authority	Corporate governance
	SKOK bank	Socially Responsible Investment
	Group for CSR / Ministry of Economy	Socially Responsible Investment






## Spain

In Spain, the private sector has been leading the way in fostering CR. The government has assumed a partial role as a CR driver, either by promoting CR in general or by focusing on certain CR aspects. Some autonomous regions have developed their own CR initiatives dealing with aspects of social, environmental, financial and equal-opportunity policies.

Apart from such general CR policies, various public actors in Spain have experience in promoting sector-specific CR via a smart mix of initiatives. Still, due to the economic crisis, companies might be likely to reduce their CR activities, which would further emphasise the government's role as a promoter of CR.

There does not seem to be an easily identifiable, sector-specific pattern of CR adoption among Spanish companies. Instead, CR maturity seems to be more related to company size than to the economic sector to which the company belongs. One exception is the so-called *observatorios industriales*, which are sector-specific platforms (or “watches”) in Spain's top ten production sectors. These were launched in 2004 within the framework of the “Declaration for Social Dialogue 2004” in order to become permanent discussion forums for the respective sectors. In 2005, they were institutionalised via an agreement between the government and its social partners. They are funded by the government through a fixed sum within the general budget of the state. However, this is beginning to decrease as a result of the economic recession in the country.



CR Actors	CR Issues	Industry Sector
Ministry of Industry, Tourism and Trade	Environment; work conditions; product responsibility	<b>Chemicals</b> Share of GVA – N/A Share of workforce – N/A 
Spanish chemical industry federation (trade association)	Health; safety; environment	
Ministry of Agriculture, Food and Environment; Ministry of the Finance and Public Administrations	Sustainable public procurement	<b>Construction</b> Share of GVA – N/A Share of workforce – N/A 
Ministry of Public Works and Transport; Ministry of Industry, Tourism and Trade	Energy efficiency	
Ministry of Environment; Ministry of Industry, Tourism and Trade	Sustainable procurement (inclusion of environmental criteria)	<b>WRT</b> Share of GVA – 8.7 Share of workforce – 14.0 
Confederation of Consumers and Users	Consumer protection	
State Secretariat for Telecommunications and Information Society / Ministry of Industry, Tourism and Trade	Digital exclusion	<b>ICT</b> Share of GVA – N/A Share of workforce – 2.1 
Multisectoral Trade Association for Electronics, Information and Communications Technologies, Telecommunications and Digital Content Industries	Environment and sustainable economic development	
Trade associations (e.g., National Union of Credit Cooperatives, National Association of Spanish Savings Bank, Spanish Banking Federation); National Securities Market Commission; Bank of Spain; Unicaja	Financial education	<b>Financial services</b> Share of GVA – 5.8 Share of workforce – 3.1 
Savings banks	Corporate governance	
Spainsif	Socially Responsible Investment	

## Switzerland








Due to Switzerland's globalisation level, CR in the country is strongly influenced by international developments. Swiss firms hold strong global positions not only in the financial sector, but also in engineering and pharmaceuticals. On a sector-specific level, multinational corporations have often played a leading role in launching related initiatives.

Rather than using the term “CR”, the government (Federal Council) prefers to discuss it in terms of sustainable development. The constitution makes the Council responsible for sustainable development. Likewise, the country's strong tradition of federalism has led all 26 cantons to operate sustainable development offices that complement the Council's work.

Although public-private cooperation is not as common as in other European countries, there is a large number of CR-related activities. However, most public-private collaborations primarily focus on environmental aspects and, with some exceptions, are cross-sectoral.

There are only a few sector-specific initiatives with government involvement. Likewise, the commitment and engagement of various industry sectors vary significantly. In most cases, those initiatives are driven by industry associations or individual companies and occasionally gain public-sector support at a later stage. Due to its federalist system, most initiatives also operate at the local level. The government uses local publicity measures to support this link between different levels, which often lends such initiatives greater legitimacy and credibility.

Industry Sector	CR Actors	CR Issues
 <b>Chemicals</b> Share of GVA – 5.3 Share of workforce – 2.4	Scienceindustries (trade association)	Emissions of volatile organic compounds
 <b>Construction</b> Share of GVA – 5.6 Share of workforce – 7.1	Conference of Cantonal Energy Directors; Swiss Federal Office of Energy; Office for the Environment	Environmentally sustainable construction; energy efficiency
	Swiss Contractors' Association	Waste, energy, water and social responsibility on construction sites
	Labour unions	Collective labour agreements
 <b>WRT</b> Share of GVA – 11.9 Share of workforce – 12.9	Individual supermarket chains (e.g., Migros and Coop, but also Lidl and Aldi)	Organic foods; fair trade products; responsible supply-chain management
	NGOs (e.g., World Wide Fund for Nature (WWF), Helvetas, the Berne Declaration)	Responsible sourcing; fair working conditions
	Federal Office of Public Health	Public health; healthy nutrition
 <b>ICT</b> Share of GVA – 4.6 Share of workforce – 3.1	Individual telecommunications companies (e.g., Swisscom, Sunrise, Orange)	Product life cycles
	Federal Department of Economic Affairs; Federal Department of the Environment, Transport, Energy and Communications	Resource efficiency; renewable energies
 <b>Financial services</b> Share of GVA – 12.1 Share of workforce – 5.5	Individual financial institutions (e.g., Credit Suisse and Swiss Re)	Waste; energy; water; paper; socially responsible investment; transparency; accountability
	Individual insurance companies (e.g., Zurich and Swiss Re)	Climate change
	Swiss government; the SwissBanking trade association	Anti-money laundering

## United Kingdom






The idea of business responsibility has a long tradition in the UK, and CR is relatively well-institutionalised. The government has been very active in developing a political CR framework and public policies. In all of this, government policy has been guided by a win-win philosophy which assumes that CR should be good for long-term business success and for society at large. Thus, it has generally favoured voluntary approaches to promoting responsible business behaviour.

In the UK, there is a tradition of fostering CR with industry in order to achieve social aims. Sector-specific initiatives seem to be a significant part of government approaches to CR. Usually, such initiatives are not directly situated

in government departments but, rather, in devolved bodies, such as regulatory agencies (e.g., the Financial Services Authority) or in arms-length organisations set up to achieve government aims on certain issues (e.g., the Waste & Resources Action Programme). It is felt that such organisations are better able to work with industry partners in a close and flexible manner than the civil service would be able to.

Existing sector-specific initiatives assume a variety of forms and administrative arrangements. However, severe cutbacks in public spending resulting from the financial crisis have thrown the future of some of these initiatives into doubt.



CR Actors	CR Issues	Industry Sector
Chemical Industries Association	Environment; health and safety; waste and water management; process safety	<b>Chemicals</b> Share of GVA – 0.8 Share of workforce – 0.6 
Chemical Industries Association	Environment; health and safety	
Department for Business, Innovation and Skills	Environment; health and safety	
Department of Environment, Food and Rural Affairs	Sustainable supply chain; hazardous substances	
Department for Business, Innovation and Skills	Climate change; carbon emissions	<b>Construction</b> Share of GVA – 7.0 Share of workforce – 6.8 
Department of Environment, Food and Rural Affairs	Procurement; design; innovation; climate change; water; biodiversity; waste	
Department of Energy and Climate Change	Carbon emissions; energy efficiency	
Individual large retailers (e.g., Tesco, Marks & Spencer)	Fair trade; health; organic produce; employment policies; charitable giving; support for local communities	<b>WRT</b> Share of GVA – 10.9 Share of workforce – 26.0 
British Retail Consortium (trade association)	Environment; energy; relations with consumers and suppliers; nutrition; sustainable retailing	
Waste & Resources Action Programme	Waste and packaging reduction; environmental impacts	
Individual telecommunications companies (e.g., O2 and British Telecommunications)	Community involvement; workforce diversity; customer relations; supply chain; energy; CO2 emissions; waste; recycling; water consumption	<b>ICT</b> Share of GVA – 6.1 Share of workforce – 3.6 
Financial Services Authority	Socially Responsible Investment; customer relations	<b>Financial services</b> Share of GVA – 10.1 Share of workforce – 3.6 
British Bankers' Association; Association of British Insurers; Department for Environment, Food & Rural Affairs; Department for International Development; Department of Trade & Industry	CR reporting	

## List of sector-specific initiatives

### Chemicals and chemical products



Awareness-raising

#### Forum Waschen

Germany



**Date of creation**  
2001

*Forum Waschen* was established in 2001 as a multi-stakeholder platform by the trade association of detergents *Industrieverband Körperpflege- und Waschmittel (IKW)* in order to start a dialogue with all relevant stakeholder groups with an interest in washing and cleaning in private households. The goal is to use leaflets and position papers to give consumers practical and unbiased information on sustainable cleaning and washing, to encourage them to save money and resources without neglecting the aspects of health and hygiene, and to organise awareness-raising events. The government is one stakeholder and contributes to the forum's neutrality, which is of the utmost importance to all stakeholders.

**Public bodies**  
Federal ministries;  
environmental agencies;  
public authorities

Link: [www.forum-waschen.de](http://www.forum-waschen.de)

#### Odpowiedzialność i Troska

Poland



**Date of creation**  
1992

The Polish Responsible Care programme was launched in 1992. Its activities are supervised by the Polish Chamber of Chemical Industry. The chamber defines as one of its main tasks the promotion of sustainable development within the chemical sector. In doing so, the chamber determines the demarcation lines and supervises the implementation of the programme and the makeup of its board. An advisor of the Minister of Environment is the chairman of the national chapter. Moreover, the Ministry of Environment supports the initiative in awareness-raising and in partnering with various initiatives (e.g., "Tree for a Bottle" and the "Ecological Academy of Skills").

**Public bodies**  
Ministry of Environment

Link: [www.rc.com.pl](http://www.rc.com.pl)



Partnering

#### Dialog Wirtschaft und Umwelt NRW

Germany



**Date of creation**  
2006

The "Dialogue Economy and Environment in North Rhine-Westphalia" started in 2006 under the German Responsible Care chapter. With it, representatives of regional ministries and trade organisations aim to foster cooperation in strengthening the long-term competitiveness of NRW, securing jobs and promoting innovation on the basis of voluntary agreements. The dialogue deals with issues such as pollution control, water conservation, waste management, soil conservation and resource management. An arbitration body was established to resolve conflicts in authorisation procedures and thereby avoid litigation.

**Public bodies**  
Numerous federal and North  
Rhine-Westphalia state  
ministries

Link: [www.vci.de/Nachhaltigkeit/Responsible-Care/Seiten/Startseite.aspx](http://www.vci.de/Nachhaltigkeit/Responsible-Care/Seiten/Startseite.aspx)

#### Observatorio Industrial del Sector Químico

Spain



**Date of creation**  
2005

The "Industrial Watch on the Chemical Sector" is one of 10 "watches" created within the framework of the Declaration for Social Dialogue 2004 to help companies improve social and environmental performance and international competitiveness. The dialogue platform was launched by MINETUR in 2005. Although it was created without an explicit CR focus, due to the sector's high environmental and social impact, many activities are directly related to issues such as environment, work conditions and product responsibility. The watch makes sector-specific recommendations on the environment, labour, efficient energy use and product responsibility. It has also published a CR guide for the chemical sector.



**Public bodies**  
Ministry of Industry, Tourism  
and Trade (MINETUR)

Link: [www.minetur.gob.es/industria/observatorios/SectorQuimico/Paginas/miembros.aspx](http://www.minetur.gob.es/industria/observatorios/SectorQuimico/Paginas/miembros.aspx)


Arbeitsgruppe Chemische Substanzen (Umweltpakt Bayern)		Germany 
<b>Date of creation</b> 2005	The "Bavarian Environmental Agreement" is the first and most successful regional environmental partnership in Germany and a role model for many other initiatives. Launched in 1995, it aims to improve environmental performance through non-regulatory measures. Companies (mostly SMEs) commit to environmental protection in exchange for subsidies and/or relief from administrative burdens. The "Working Group on Chemical Substances" particularly focuses on simplifying the REACH system to make it practicable, significantly reducing expenses for registering substances, introducing expedient regulations to protect company secrets and avoiding unnecessary administrative burdens caused by overlapping laws.	 Partnering
<b>Public bodies</b> Bavarian state and local governments		

Links: [www.umweltpakt.bayern.de](http://www.umweltpakt.bayern.de); [http://ec.europa.eu/environment/sme/pdf/environmental\\_agreement\\_en.pdf](http://ec.europa.eu/environment/sme/pdf/environmental_agreement_en.pdf)


## Construction

Deutsche Gütesiegel Nachhaltiges Bauen		Germany 
<b>Date of creation</b> 2008	The "German Sustainable Building Label" was jointly launched by the BMVBS and the German Sustainable Building Council (DGNB). It is a comprehensive, planning-based rating system for sustainable buildings and is based on the CEN/TC 350 standard ("sustainability of construction works") of the European Committee for Standardization (CEN). It takes into account the whole life cycle of office and administration buildings and is based on the quality of five aspects: ecological, economic, socio-cultural and functional, technical and process-oriented. In some ways, the German label goes beyond the European standard and recognises outstanding planning achievements in the field of sustainable construction by all market players.	 Awareness-raising
<b>Public bodies</b> Federal Ministry of Transport, Building and Urban Development (BMBVS, formerly Federal Ministry of Housing)		

Link: [www.label-online.de/label-datenbank?label=559](http://www.label-online.de/label-datenbank?label=559)

Umweltproduktdeklarationen		Germany 
<b>Date of creation</b> 2004	Environmental Product Declarations (EPDs), based on ISO standards, are the basic data for environmental building assessments. EPDs make statements on the energy and resource use of products and their contribution to global warming, acidification, etc. The German EPD (Type III) for construction products was developed by the Institute Construction and Environment (IBU) in cooperation with the BMBVS and the Federal Environment Agency. Officials with the Federal Institute for Materials Research and Testing (BAM), researchers and environmental organizations are involved in developing the declarations. These institutions are represented in an expert committee that acts as a third party and analyses the results of the product group forum.	
<b>Public bodies</b> Federal Ministry of Transport, Building and Urban Development (BMBVS, formerly Federal Ministry of Housing)		

Link: [www.bau-umwelt.de](http://www.bau-umwelt.de)

Videncenter for energibesparelser i bygninger		Denmark 
<b>Date of creation</b> 2009	The "Danish Knowledge Centre for Energy Savings in Buildings" opened in 2009 and gathers expertise and best practices in the field of energy saving. It aims to provide building professionals with the necessary know-how, qualifications and motivation to implement energy-saving initiatives in housing and commercial development as well as in the building stock. Its main tasks are divided into three keys areas: knowledge, solutions and communication. Between 2008 and 2011, the Danish government invested ca. 4.3 million euros in the Centre. It is run by a consortium consisting of the Danish Technological Institute, the Danish Building Research Institute, <i>Viegand &amp; Maagøe</i> and the <i>KommunikationsKompagniet</i> .	
<b>Public bodies</b> Denmark's National IT and Telecom Agency, under the Ministry of Science, Innovation and Higher Education		

Link: [www.byggeriogenergi.dk/about](http://www.byggeriogenergi.dk/about)



Partnering

### Naerco – Nachhaltige Erfolgscontracting

Germany



**Date of creation**  
2001

**Public bodies**  
Federal Ministry of Economics and Technology; Universities of Nuremberg and Ulm

*Naerco*, the German abbreviation for “sustainable success contracting”, is a joint research project of the Hamburg-based Federal German Working Group on Environmentally-Conscious Management (BAUM) and the universities of Ulm and Nuremberg, in Bavaria. “Successful Contracting” is a practice-oriented model, developed with 1.5 million euros in federal funding, for the functional tendering and awarding of contracts for constructing and managing technical facilities in large public buildings. It is a new approach for construction and renovation of building facilities in public buildings, in which the contractor is responsible for the installation and operation of the plant over a longer period of time.

Link: [www.naerco.de](http://www.naerco.de)

### Flere praktikpladser

Denmark



**Date of creation**  
2011

**Public bodies**  
Ministry for Housing, Urban and Rural Affairs

*Flere praktikpladser* (“More Internships”) is a public-private partnership between BRF Kredit, an independent mortgage credit institution, and the Ministry of Housing, Urban and Rural Affairs. Each provides half of the funding for the project (approximately DKK 1.2 million in all), which runs for one year. This voluntary, multi-stakeholder platform of housing associations, construction firms and educational institutions aims to provide 30 non-ethnic Danes with internships in the construction sector. Apart from this, it has resulted in: (1) a code of best practice to facilitate employment in the nonprofit housing sector; (2) two codes of conduct, one for housing associations and the other for construction companies; and (3) a partnership agreement between the parties to adopt the codes in their mutual interactions.

Link: [www.brf-csr.dk/index.php?page=projekt-flere-praktikpladser](http://www.brf-csr.dk/index.php?page=projekt-flere-praktikpladser)

### Plataforma RHÉ+

Spain



**Date of creation**  
2010

**Public bodies**  
Ministry of Public Works and Transport

The “Social Platform to Promote the Rehabilitation, Accessibility and Energy Efficiency of Buildings and Dwellings” (*Plataforma RHÉ+*) is a multi-stakeholder initiative that aims to promote the rehabilitation of the existing housing stock as well as to create jobs and training in this specific area. It includes criteria related to saving energy, improving accessibility facilities and enhancing the maintenance of buildings. Besides the Ministry of Public Works, various public and private organisations have joined the platform, such as the Ministry of Industry, Tourism and Trade, the autonomous communities and the employee organisations.

Link: [www.fomento.gob.es/MFOM/LANG\\_CASTELLANO/DIRECCIONES\\_GENERALES/ARQ\\_VIVIENDA/SUELO\\_Y\\_POLITICAS/PRACTICAS/RHE/](http://www.fomento.gob.es/MFOM/LANG_CASTELLANO/DIRECCIONES_GENERALES/ARQ_VIVIENDA/SUELO_Y_POLITICAS/PRACTICAS/RHE/)



Soft law

### Leitfaden Nachhaltiges Bauen

Germany




**Date of creation**  
2001

**Public bodies**  
Federal Ministry of Transport, Building and Urban Development (BMBVS, formerly Federal Ministry of Housing)


The “Sustainable Building Guidelines”, launched in 2001 and updated in 2011, aim to assist federal building projects in planning, building, expansion, repairs, renovation and building maintenance and operation, as well as with the general use of buildings and properties. In addition, the guidelines provide construction companies with principles and best practices related to sustainable building. For this reason, they are suitable for regional and local authorities as well as for private companies.

Link: [www.nachhaltigesbauen.de/leitfaeden-und-arbeitshilfen/leitfaden-nachhaltiges-bauen.html](http://www.nachhaltigesbauen.de/leitfaeden-und-arbeitshilfen/leitfaden-nachhaltiges-bauen.html)




Präqualifizierungsverfahren		Germany 
<b>Date of creation</b> 2005	<p>In 2005, a working group including representatives from the BMBVS, the federal states (<i>Länder</i>), municipalities and the construction trade associations developed a "Prequalification Certificate". Construction companies must usually submit numerous qualifications when competing for a public tender. The "Prequalification Certificate" is meant to replace these qualifications with a single, recognised qualification. Moreover, prequalified companies are listed on a website. The certificate asks companies to document certain capabilities and standards, such as that they pay minimum wages, and to prove they have not been listed in the bribery registry of the federal states (<i>Landeskorrupsionsregister</i>).</p>	
<b>Public bodies</b> Federal Ministry of Transport, Building and Urban Development (BMBVS, formerly Federal Ministry of Housing)		


Link: [www.bmvbs.de/cae/servlet/contentblob/29000/publicationFile/45634/leitlinie-fuer-die-durchfuehrung-eines-pq-verfahrens.pdf](http://www.bmvbs.de/cae/servlet/contentblob/29000/publicationFile/45634/leitlinie-fuer-die-durchfuehrung-eines-pq-verfahrens.pdf)

Effinergie		France 
<b>Date of creation</b> 2006	<p><i>Effinergie</i> is a French certification for energy-efficient housing launched as an association in 2006. An expert group in the field of low-energy housing elaborated the first standard for new housing projects in 2007. According to the government's definition, a house qualifies as "low-energy" if it annually consumes no more than 50 kWh per square metre for heating, cooling, ventilation, warm water and lighting. Four certification organisations do the actual project analysis and certification. In 2009, <i>Effinergie</i> developed a second standard for renovations and is planning to publish a new label in 2012. In collaboration with the French Environment and Energy Management Agency (ADEME), <i>Effinergie</i> created the Observatoire BBC to disseminate information on low-energy buildings.</p>	
<b>Public bodies</b> French Environmental and Energy Management Agency (ADEME); French regions; public agencies		

Link: [www.effinergie.org](http://www.effinergie.org)

Minergie		Switzerland 
<b>Date of creation</b> 1995	<p><i>Minergie</i> is a sustainability label and standard for new and refurbished buildings developed in 1994 to increase living comfort while reducing energy consumption. The <i>Minergie</i> label was launched in 1995 and, by 1998, all 26 Swiss cantons had become members and licensed partners of the <i>Minergie</i> association. The association is financed by its private and public members, its services (certification, education, consulting and coaching) and its sponsors (companies of the Swiss construction industry, investors and different levels of government). <i>Minergie</i> evaluates buildings and their housing technology as an integral system. Thus, both products and services can conform to its standards.</p>	
<b>Public bodies</b> Swiss Confederation; Swiss cantons		

Link: [www.minergie.ch](http://www.minergie.ch)

Plan de Contratación Pública Verde		Spain 
<b>Date of creation</b> 1997, 2007, 2008	<p>The "Environmental Criteria in Public Procurement Procedures" established that prerequisites and environmental criteria were introduced into public contracts of the General State Administration and social security management entities. The clauses refer both to the specific conditions of the project to be awarded and to the company's management systems. Although the scope of this initiative goes beyond the construction sector, it has been one of the drivers of environmental sustainability in Spain. The ultimate objective of this initiative is to motivate companies to incorporate social and environmental criteria into their management.</p>	
<b>Public bodies</b> Ministry of Environment; Ministry of Economy		

Link: [www.boe.es/aeboe/consultas/bases\\_datos/doc.php?id=BOE-A-2008-1631](http://www.boe.es/aeboe/consultas/bases_datos/doc.php?id=BOE-A-2008-1631)



Soft law



Soft law

### Duurzaam inkopen

Netherlands



**Date of creation**  
1993

**Public bodies**  
Municipalities; regional governments

The Dutch government functions as a market partner that stimulates the use of sustainable materials. Dutch governmental agencies require their suppliers to adhere to certain responsibility standards and to document this adherence with clear signals and certificates. The procurement policy in the construction sector is part of the national public procurement policy for sustainable wood certification (*Duurzaam inkopen*). Suppliers that do not adhere to sustainability criteria are excluded from public procurement. The criteria are formulated in the Timber Procurement Assessment Committee (TPAC) code, which is drafted by the Foundation for Environmental Examination (SMK), a government-financed institution.

Links: [www.fsc.org](http://www.fsc.org); [www.rijksoverheid.nl/onderwerpen/duurzaam-inkopen](http://www.rijksoverheid.nl/onderwerpen/duurzaam-inkopen)

### Convenant Energiebesparing Corporatiesector

Netherlands



**Date of creation**  
2005

**Public bodies**  
Ministry of Housing, Spatial Planning and the Environment; Ministry for Housing, Communities and Integration

The covenant is a sector agreement on energy saving between the Minister for Housing, Communities and Integration (from 2007 to 2010, a minister without portfolio), the Minister of Housing, Spatial Planning and the Environment, the Aedes association of housing corporations and the Dutch Tenants Association. The aim is to reduce carbon emissions and promote safe energy use in power plants and existing social rental stock in the period between 2008 and 2020. It also seeks to promote energy-use reductions in new housing constructions (25 per cent by 2011 and 50 per cent by 2015). The partners have also agreed to pursue at least 20 per cent reductions in gas consumption within the next 10 years.

Link: [www.bespaarenergiemetdewoonbond.nl/art/uploads/Convenant%20Energiebesparing%20Corporatiesector\(3\).pdf](http://www.bespaarenergiemetdewoonbond.nl/art/uploads/Convenant%20Energiebesparing%20Corporatiesector(3).pdf)

### Strategy for Sustainable Construction

United Kingdom



**Date of creation**  
2008

**Public bodies**  
Various government departments

The Strategy for Sustainable Construction is a high-level, joint industry and government strategic document published in 2008 under the auspices of the Strategic Forum for Construction and several government departments. The document brings together a number of public policies and guidelines to encourage sustainable construction. Core areas include: (1) guidelines for public-sector purchasing in construction and the encouragement of sustainable practices in the private construction industry; (2) targets related to “means” (procurement, design, innovation, people, better regulation) and “ends” (climate-change mitigation, climate-change adaptation, water, biodiversity, waste, materials); and (3) a mixture of regulatory and voluntary instruments.

Link: [www.bis.gov.uk/files/file46535.pdf](http://www.bis.gov.uk/files/file46535.pdf)

### Low Carbon Construction Action Plan

United Kingdom



**Date of creation**  
2005

**Public bodies**  
Department for Business, Innovation and Skills


The Low Carbon Construction Action Plan provides a structure for taking forward many of the 65 recommendations in the Innovation and Growth Team (IGT) report of the fall of 2010. It emphasises the need for leadership and cooperation, for simplification of the low carbon policy “landscape” and for government to balance incentives and “interventions”. The action plan builds on the Strategy for Sustainable Construction and works closely with other key policy initiatives in which the industry is already closely collaborating with government, such as the Infrastructure UK cost study and the Cabinet Office Efficiency and Reform Group work on general construction procurement.

Link: [www.bis.gov.uk/policies/business-sectors/construction/low-carbon-construction-igt/low-carbon-construction-action-plan](http://www.bis.gov.uk/policies/business-sectors/construction/low-carbon-construction-igt/low-carbon-construction-action-plan)


## Wholesale and retail trade

Blauer Engel		Germany 
<b>Date of creation</b> 1978	The "Blue Angel" label is the first and one of the best-known eco-labels in the world. Since 1978, it has set the standard for eco-friendly products and services, and the products that can use it are selected by an independent jury according to predefined criteria. The "Blue Angel" is awarded to companies so as to recognise their commitment to environmental protection. They, in turn, use it to professionally promote their eco-friendly products in the market. The "Blue Angel" is an ecological beacon that points consumers towards ecologically superior products and promotes environmentally conscious consumption.	
<b>Public bodies</b> Federal Ministry for the Environment, Nature Conservation and Nuclear Safety; Federal Environment Agency		


Link: [www.blauer-engel.de/de/blauer\\_engel/index.php](http://www.blauer-engel.de/de/blauer_engel/index.php)

Fair Feels Good		Germany 
<b>Date of creation</b> 2003	Between 2003 and 2007, the <i>Verbraucher Initiative</i> consumer advocacy group, in cooperation with TransFair and the Weltladen-Dachverband, managed a nationwide information and promotional campaign for fair trade products called "Fair Feels Good". Financed by the Federal Ministry for Economic Cooperation and Development (BMZ) and featuring a number of celebrities, its goals were to: (1) increase the range of available fair trade products and demand for them by raising awareness of them; (2) raise awareness about already available fair trade products; (3) provide information about the socio-political importance of fair trade; and (4) spark a public debate about the meaning of "fair".	
<b>Public bodies</b> Federal Ministry for Economic Cooperation and Development (BMZ)		

Link: [www.label-online.de/label-datenbank?label=559](http://www.label-online.de/label-datenbank?label=559)

5amTag.de		Germany 
<b>Date of creation</b> 2001	The network of the "Five a Day" campaign in Germany consists of over 100 partners drawn from the health care, business and research communities. All are committed to promoting better health by advocating the consumption of five combined servings of fruit and vegetables per day. The campaign's national school fruit program has become a household name. Participants conduct joint projects in the field of healthy nutrition and may use the association's logo. The campaign has received EU financial support since 2002 and is operated under the patronage of the Federal Ministry of Food, Agriculture and Consumer Protection and the Federal Ministry of Health.	
<b>Public bodies</b> Federal Ministry of Food, Agriculture and Consumer Protection; Federal Ministry of Health		

Link: [www.5amtag.org](http://www.5amtag.org)

Lebensmittelklarheit.de		Germany 
<b>Date of creation</b> 2011	On this Internet portal, consumers can report inadequate food labeling or advertising. Its operators then look into the claim and may ask manufacturers for comment. The latter then has seven days to provide a statement. Everything is public and reviewed by the operator. The portal also provides general information on labeling, answers questions about specific products and offers discussion forums. It is managed by the VZBV consumer umbrella organisation and funded by the Federal Ministry of Food, Agriculture and Consumer Protection under its "Clarity and Truth" initiative.	
<b>Public bodies</b> Federal Ministry of Food, Agriculture and Consumer Protection; Federation of German Consumer Organizations (VZBV)		

Link: [www.lebensmittelklarheit.de](http://www.lebensmittelklarheit.de)





Awareness-raising

### Gütesiegel Generationsfreundliches Einkaufen

Germany



**Date of creation**  
2010

**Public bodies**  
NRW Ministry of Health, Empowerment, Care and Age; Lower Saxony's Ministry of Social Affairs, Women, Family, Health and Integration

Since the spring of 2010, retailers throughout Germany have been able to receive the "Generation-Friendly Shopping" label of quality. Using criteria that have been specifically developed for this purpose, testers review services, access possibilities, the design of business premises and the service-mindedness of retailers. The German Retail Association (HDE) aims to promote a change in social trends and to respond to customers' needs and desires. Two regional ministries as well as Berlin's Senate Department for Economics, Technology and Research support the initiative. Furthermore, the Federal Minister for Family Affairs, Senior Citizens, Women and Youth hosts an award ceremony for the label.

Links: [www.generationenfreundliches-einkaufen.de](http://www.generationenfreundliches-einkaufen.de);  
[www.csr-in-commerce.eu/good\\_practice.php/en/96/quality-logo-for-generation-friendly-shopping](http://www.csr-in-commerce.eu/good_practice.php/en/96/quality-logo-for-generation-friendly-shopping)

### Lyon – ville équitable et durable

France



**Date of creation**  
2002

**Public bodies**  
City of Lyon

Lyon was one of the first cities in France to sign the charter "500 Cities Committed to Fair Trade", in 2001, and to introduce fair trade in public procurement, in 2005. It promotes fair trade purchasing in school and other cafeterias and encourages a responsible approach to consumption within public institutions. The city is currently working on three large projects that expand the original idea of public procurement and extend it beyond the retail sector. These projects are: the fair trade label *Lyon – ville équitable et durable*, a *Territoire de commerce équitable* ("Territory for Free Trade") campaign and a call for projects on responsible consumption. Since 2002, Lyon has also been a strong supporter of the Fair Trade Fortnight and, in 2009, it hosted the Fairtrade Towns conference.

Link: [www.lyon.fr](http://www.lyon.fr) (no initiative-specific website)

### Svanemærket

Denmark



**Date of creation**  
1998

**Public bodies**  
Ministry of the Environment

The voluntary "Swan Label" of the Nordic countries (Denmark, Finland, Iceland, Norway and Sweden) promotes the development, marketing and use of products that are less harmful to the environment and climate than other similar products. In Denmark, the label is managed by a public-private partnership made up of Eco-labelling Denmark, part of the private, independent organisation Danish Standards, and the Eco-labelling Board established by Denmark's Ministry of the Environment. The role of the government is initiation, regulation, monitoring and funding. Lack of transparency in the market is countered by reducing the complexity of information.

Links: [www.nordic-ecolabel.org](http://www.nordic-ecolabel.org); [www.ecolable.dk/inenglish/](http://www.ecolable.dk/inenglish/)

### Forum for Bæredygtige Indkøb

Denmark




**Date of creation**  
2011


**Public bodies**  
Ministry of the Environment

The "Forum on Sustainable Procurement" was established by Denmark's Ministry of the Environment in May 2011 to promote the environmentally conscious and responsible procurement of goods and services among professional buyers in both public and private companies. The forum is open to all who are interested in sustainable procurement. Membership is free and informal. The forum comprises three levels: (1) a steering committee with representatives from invited political organisations; (2) working groups; and (3) general members. Several public bodies participate in the steering group, such as the Environmental Protection Agency and the National Procurement Agency.

Link: [www.ansvarligeindkob.dk](http://www.ansvarligeindkob.dk)

Nøglehullet		Denmark 
<b>Date of creation</b> 2009	The "Keyhole" is a voluntary food label that identifies healthier food products within a product group. It is a common Nordic label for healthier food products in Denmark, Norway and Sweden based on the Swedish "Keyhole", which was established in 1989. In 2009, the label was launched as Denmark's official nutrition label. Food producers are responsible for ensuring that foods with the "Keyhole" symbol conform to the Danish Veterinary and Food Administration's regulations on its use. There are 25 categories within nine product groups. However, each country can adapt the label by revising the criteria of the original Swedish "Keyhole" and adding local product groups.	
<b>Public bodies</b> Danish Veterinary and Food Administration		

Link: [www.noeglehullet.dk/services/English/forside.htm](http://www.noeglehullet.dk/services/English/forside.htm)

CSR Kompasset		Denmark 
<b>Date of creation</b> 2005	The "CSR Compass" is a free online tool that can help companies implement responsible supply-chain management. It targets small and medium-sized production, trade and service companies. Originally developed in 2005, it was extensively revised in 2010. The structure of the "CSR Compass" and its advice and guidelines are in line with national and international trends and best practice standards, including those of the U.N. Global Compact, the OECD, Business for Social Responsibility (BSR), the Business Social Compliance Initiative (BSCI), the Danish Ethical Trading Initiative (DIEH) and the Danish Council on Corporate Social Responsibility.	
<b>Public bodies</b> Danish Veterinary and Food Administration		

Link: [www.csrcompass.com/about-csr-compass](http://www.csrcompass.com/about-csr-compass)

Platform Verduurzaming Voetsel (PVV)		Netherlands 
<b>Date of creation</b> 2009	Within the "Platform for Sustainable Food", the Ministry of Economic Affairs, Farming and Innovation partners with leading NGOs in the field of fair trade and sustainability as well as business partners who can be viewed as benchmark-setters. It aims to reduce the negative impacts of production and transport in the retail trade, improve the living conditions of animals and support fair trade. The initiative pursues its objectives via three approaches: (1) sharing knowledge and developing standards; (2) funding pilot studies; and (3) performing political and publicity work. The goals are reached by having different partners along the entire retail supply chain in the Netherlands collaborate in related efforts.	
<b>Public bodies</b> Ministry of Economic Affairs, Farming and Innovation		

Link: [www.verduurzamingvoetsel.nl/home](http://www.verduurzamingvoetsel.nl/home)

The Courtauld Commitment		United Kingdom 
<b>Date of creation</b> 2005	The Courtauld Commitment is a partnering initiative aimed at reducing the amount of household waste sent to landfill as well as the environmental burden of food and packaging waste. There are two phases to the commitment: Phase 1 ending in 2008, and Phase 2 ending in 2012. A third phase has been mooted. The initiative targets both individual companies and their trade associations. Initial industry involvement covered only the retail industry, but the food- and beverage-manufacturing industry has also become a significant participant. The WRAP, a government-funded nonprofit company, manages the programme. It helps signatory companies develop waste-reduction plans and provides free consultancy.	
<b>Public bodies</b> Waste & Resources Action Programme (WRAP)		

Link: [www.wrap.org.uk/content/courtauld-commitment-2-0](http://www.wrap.org.uk/content/courtauld-commitment-2-0)



Awareness-raising



Partnering



Partnering

### Actionsanté – eat better, move more

Switzerland



**Date of creation**  
2009

**Public bodies**  
Federal Office of Public Health (FOPH)

This public-private partnership promotes public health and healthy nutrition within the WRT sector. It aims to improve individuals' health-related quality of life. Its four areas of action include altering food composition and selection, adapting marketing and advertising, promoting an environment beneficial and conducive to physical activity, and providing information to consumers that is understandable and complete. Companies can join by voluntarily signing a declaration of intent and using the *Actionsanté* logo. The annual budget of CHF 170,000 is provided by the FOPH and used for organising the annual conference, the roundtables and communication efforts, such as annual reports and newsletters.

Link: [www.bag.admin.ch/themen/ernaehrung\\_bewegung/05245/index.html?lang=de](http://www.bag.admin.ch/themen/ernaehrung_bewegung/05245/index.html?lang=de)

### Dansk Initiativ for Etisk Handel

Denmark



**Date of creation**  
2008

**Public bodies**  
Ministry of Foreign Affairs

The "Danish Ethical Trading" Initiative (DIEH), founded in February 2008, is the first Danish multi-stakeholder initiative to promote ethical trade and responsible supply-chain management among Danish companies. It is a member organisation based on the 10 principles of the U.N. Global Compact. The focus is on implementing corporate codes of practice covering human rights and working conditions in the global supply chain that contribute to sustainable development in developing and newly industrialized countries. Its funding is provided in part by the Danish International Development Agency (DANIDA) within the Ministry of Foreign Affairs.

Link: [www.dieh.dk/in-english/](http://www.dieh.dk/in-english/)

### Initiatief Duurzame Handel

Netherlands



**Date of creation**  
2007

**Public bodies**  
All Dutch ministries; funding from the Ministry of Foreign Affairs

The "Initiative for Sustainable Trade" is a NGO supported by all Dutch ministries and co-financed by the Ministry of Foreign Affairs with initial funding of 100 million euros. The money is used to co-finance sustainable industry initiatives. Companies that invest in sustainable production and trade can receive subsidies that match up to 100 per cent of their own investment. The idea behind the approach is that Western companies and societies also benefit from sustainable development in poor countries, particularly given the increasing demand for raw materials from such countries. The initiative is designed around three principles: accelerating, scaling up and learning.

Link: [www.idhsustainabletrade.com](http://www.idhsustainabletrade.com)

### Carrier Bag Agreement

United Kingdom





**Date of creation**  
2009


**Public bodies**  
Waste & Resources Action Programme (WRAP)

This initiative is an agreement between the Scottish Government, Department of Environment, Food and Rural Affairs, the Welsh Assembly Government and the Northern Ireland Department of the Environment with the British Retail Consortium (BRC) and its supermarket members. With it, leading UK supermarket retailers and the BRC are working with UK governments to reduce the environmental impact of carrier bags. Participants monitor customer bag usage, while the government uses such data to further the use of reusable bags. The target was a reduction by 50 per cent by 2009 on a 2006 baseline, which was missed by 2 per cent. Although no further formal target was set, parties continued monitoring carrier-bag use in 2010 and 2011.

Link: [www.wrap.org.uk/content/carrier-bags-reducing-their-environmental-impact](http://www.wrap.org.uk/content/carrier-bags-reducing-their-environmental-impact)

Article 60 on Fair Trade		France 
<b>Date of creation</b> 2005	Article 60 of the Act of 2 August 2005 on SMEs recognised fair trade in legislation for the first time. It states that fair trade is within the scope of the national strategy for sustainable development. It promotes the exchange of goods and services between developed countries and disadvantaged producers in developing countries in the areas of trade, craftsmanship and services. It also aims to create sustainable relationships that lead to economic and social progress for these manufacturers.	 Soft law
<b>Public bodies</b> French government		

Links: [www.jeconsommeequitable.fr/la-commission-nationale.html](http://www.jeconsommeequitable.fr/la-commission-nationale.html); [www.legifrance.gouv.fr/affichTexte.do?cidTexte=JORFTEXT000000452052](http://www.legifrance.gouv.fr/affichTexte.do?cidTexte=JORFTEXT000000452052)


AVE Sektorenmodell		Germany 
<b>Date of creation</b> 1994	The "AVE Sector" Model brought together large clothing retailers in order to develop a common code of conduct for the supply chain and an auditing scheme. The government acted as a lender of credibility and played a central role in setting up and supporting local roundtables in developing countries. The code is based on ILO labour norms and the SA8000 standard. In 2001, a "Codes of Conduct Roundtable" was established as a forum in which different stakeholders could discuss supply-chain issues. In 2003, the AVE's European branch, the Foreign Trade Association, launched the Business Social Compliance Initiative (BSCI), now comprising more than 900 companies. Although the AVE Sector Model was phased out in late 2006, the BSCI continues to pursue its goals.	
<b>Public bodies</b> Ministry for Economic Cooperation and Development (BMZ); regional public bodies in developing countries		

Link: [www.ave-koeln.de/csr/ave\\_sektorenmodell.htm](http://www.ave-koeln.de/csr/ave_sektorenmodell.htm) (original website deactivated)

Home Improvement Sector Commitment		United Kingdom 
<b>Date of creation</b> 2009	This commitment aims to improve the resource efficiency of home-improvement products throughout the UK by reducing packaging and waste in the sector. Signatories to the commitment account for almost half of all UK home-improvement retail sales. As part of the commitment, signatories are working together in three areas: (1) reducing packaging by 15 per cent by the end of 2012; (2) cutting waste to landfill from their operations by 50 per cent by the end of 2012 (both measured against a 2007 baseline); and (3) helping consumers recycle more. Between 2007 and 2010, packaging usage in the UK was reduced by 12 per cent and waste sent to landfill by 64 per cent.	
<b>Public bodies</b> Waste & Resources Action Programme (WRAP)		

Link: [www.wrap.org.uk/content/home-improvement-sector-commitment-3](http://www.wrap.org.uk/content/home-improvement-sector-commitment-3)

## Information and communication technologies

Jahrestagung Green IT		Germany 
<b>Date of creation</b> 2007	Since 2007, the ICT trade association BITKOM, the Federal Ministry of Environment (BMU) and the Federal Environment Agency (BAU) have hosted the annual "Green IT Forum". The forum is jointly sponsored by all three institutions, as well as by the KfW development bank. It is meant to raise awareness about recent developments in environmentally friendly ICT, such as the potential of smart cities. The forum targets researchers and developers and drives innovation. The thematic focus is on the brand-new fields of technology "smart buildings", "connected living" and "smart services". It is the largest European research network for information and communication technology.	 Awareness-raising
<b>Public bodies</b> Federal Ministry of the Environment; Federal Environment Agency		

Link: [www.bmu.de/produkte\\_und\\_umwelt/produktbereiche/green\\_it/jahrestagung/doc/46806.php](http://www.bmu.de/produkte_und_umwelt/produktbereiche/green_it/jahrestagung/doc/46806.php)



Partnering

### Zasady programu Certyfikat UKE

Poland



**Date of creation**  
2010

**Public bodies**  
Office of Electronic  
Communications (UKE)

Beginning in 2010, the president of the UKE took actions related to the certification of telecommunications services. One of the reasons was to improve the safety of users. The "Certificate of the President of the UKE" includes five categories: the "Fair Transfer Certificate, the Certificate of Safer Internet, the Safe Phone Certificate, the Senior Certificate, the Certificate of No Barriers and the Premium Rate Fair Play Certificate". The programme is open to all telecommunications companies, both operators and suppliers of services that meet the specified criteria. The certificates are awarded for a period of 12 months from the date of grant, but it can be extended upon request.

Link: [www.uke.gov.pl/uke/index.jsp?news\\_cat\\_id=351&news\\_id=3697&layout=8&page=text&place=Lead01](http://www.uke.gov.pl/uke/index.jsp?news_cat_id=351&news_id=3697&layout=8&page=text&place=Lead01)

### Videncenter for grøn it

Denmark



**Date of creation**  
2010

**Public bodies**  
The Danish Ministry of  
Finance (the Danish Agency  
for Digitisation)

The "Knowledge Centre for Green IT" was established on 1 January 2010 and was placed in the National IT and Telecom Agency under what was then the Ministry of Science. In 2011, it was transferred to the Danish Agency for Digitisation under the Ministry of Finance. The centre uses information campaigns to promote green IT among public authorities, businesses and citizens in order to reduce climate impacts and increase the use and awareness of sustainable IT solutions. Its main activities include promoting videoconferencing, showcasing solutions for intelligent energy management, fostering green procurement and sponsoring green IT awards.

Link: [www.itst.dk/groenit](http://www.itst.dk/groenit)

### Foro TIC y Sostenibilidad

Spain



**Date of creation**  
2008

**Public bodies**  
Government of Andalucía

The annual forum "ICT and Sustainability Forum", attended by ICT companies and public administrators, focuses on the role of ICT in environmental and sustainability issues. It is organised by AMETIC, the ITC trade association and the regional government of Andalucía and supported by the major Spanish ICT companies. Its objectives are: (1) to generate a business and technological response to climate change; (2) to engage sector opinion leaders in the sustainability debate; (3) to focus on the role of technology and the state in achieving sustainability without compromising social welfare; and (4) to make the forum a benchmark in the search for a sustainable environment.

Link: [www.ticysostenibilidad.org](http://www.ticysostenibilidad.org)

### Porozumienie na rzecz bezpieczeństwa dzieci w Internecie

Poland



**Date of creation**  
2009

**Public bodies**  
Office of Electronic  
Communications;  
Government Plenipotentiary  
for Equal Treatment


On the public side, this coalition of telecommunication companies on children's online safety is supported by the Office of Electronic Communications (UKE), the Government Plenipotentiary for Equal Treatment and the Inspector General for the Protection of Personal Data. On the private side, there are cable TV companies, Internet service providers, industry sector associations and NGOs. The coalition's main goal is to educate parents, other adults and children who use the Internet about safety issues, such as parental controls, privacy, abuse and misuse, illegal content and contacting, and other important problems. The initiative started with 12 signatories, but this number has grown to 20 and is expected to continue growing.

Link: [www.bezpieczniewinternecie.pl](http://www.bezpieczniewinternecie.pl)







Partnering

Green IT Allianz		Germany 
<b>Date of creation</b> 2008	<p>The "Green IT Alliance" is a major outcome of the third national IT summit, held in November 2008. This partnership of several government departments, research organisations and the Federal Association for Information Technology, Telecommunications and New Media (BITKOM) was formed to develop an "IT Agenda for Climate and Environment". The main goals of the initiative are: (1) to set the political and economic agenda on Green IT; (2) to make IT a leader in green technologies; and (3) to help boost exports and foster collaboration across societal sectors. As of 2012, 35 producers, consumer groups and research institutions are members of the alliance.</p>	
<b>Public bodies</b> Several departments within the federal government		


Link: [www.bitkom.org/de/themen/51051\\_60514.aspx](http://www.bitkom.org/de/themen/51051_60514.aspx)

Green IT Beratungsbüro		Germany 
<b>Date of creation</b> 2009	<p>The trade association BITKOM founded a temporary consultancy office that mediated between pilot projects implementing green ICT solutions and public funding schemes offered by the Federal Ministry of the Environment, the Federal Environment Agency and the KfW, the development bank of Germany's federal government and federal states. The "Green IT Advisory Office" was founded during the research program "IT goes green" set out in the Environmental Innovation Programme (UIP) in early 2009, and it supported professionals in the implementation of green IT projects. The funding of the office was phased out in 2012.</p>	
<b>Public bodies</b> Federal Ministry of the Environment; Federal Environment Agency		

Link: [www.green-it-beratungsbuero.de](http://www.green-it-beratungsbuero.de)

Børnenes IT-Fond		Denmark 
<b>Date of creation</b> 2011	<p>The IT Children's Fund is a multi-stakeholder initiative that aims to provide free laptop computers for children in out-of-home care. Its mission is: (1) to raise funds for the purchase of ready-to-use computers from all donors who wish to support the vision; (2) to distribute computers to children and young persons based on a specific needs assessment; and (3) to help children and young people in out-of-home care acquire needed IT skills, enjoy digital learning opportunities and participate in online social communities. It involves the National Council for Children and the Danish IT Industry Association.</p>	
<b>Public bodies</b> National Council for Children (under the Danish Ministry of Social Affairs)		

Link: [www.bhd.dk/anbragte-born/institutioner/bornenes-it-fond/parterne-bag](http://www.bhd.dk/anbragte-born/institutioner/bornenes-it-fond/parterne-bag)

Plan Avanza		Spain 
<b>Date of creation</b> 2005	<p><i>Plan Avanza</i>, approved by the Council of Ministers in 2005, is a permanent programme that subsidises the provisions of advanced telecom services to areas or populations at risk of exclusion. It also aims to promote the deployment of very high-speed networks as an instrument for fostering socioeconomic development. Its goals are: (1) to increase the public's use of advanced digital services; (2) to develop the technological capabilities of the ICT sector; (3) to strengthen the digital content sector; and (4) to develop green ICT. In 2010, the 2011–2015 "Strategy for Plan Avanza 2" was developed. It includes projects already in progress and updates initial objectives to adapt them to the new challenges of a networked society.</p>	
<b>Public bodies</b> Ministry of Industry, Tourism and Trade		

Link: [www.pesi-seguridadindustrial.org/attachments/719\\_ficha%20AVANZA2%20Orden%20de%20Bases2012.pdf](http://www.pesi-seguridadindustrial.org/attachments/719_ficha%20AVANZA2%20Orden%20de%20Bases2012.pdf)



Partnering

### Koalicję Cyfrowego Włączenia Generacji 50+ "Dojrzałość w sieci"

Poland



**Date of creation**  
2010

**Public bodies**  
Office of Electronic  
Communications (UKE)

Older people are less likely to make use of the Internet and new technology, which threatens to exclude them from the world of modern communication. The "Coalition for the Digital Inclusion of the 50+ Generation M@turity in the Net", under the patronage of the UKE, aims to unite businesses, NGOs, agencies and institutions to encourage older people to actively use the Internet. It undertakes joint initiatives to improve older people's access to and ability to use the Internet. It also intends to speak in public debates on matters relevant to the prevention of online exclusion in Poland. The coalition is informal and open to all companies and institutions wishing to get involved in efforts against the e-exclusion of older individuals.

Link: [www.dojrzaloscwsieci.pl/english.html](http://www.dojrzaloscwsieci.pl/english.html)



Soft law

### ITK-Beschaffung.de

Germany



**Date of creation**  
2006

**Public bodies**  
Procurement Agency of  
the Federal Ministry of the  
Interior; Federal Employment  
Agency (and later others)

Both companies and public procurers face difficulties when it comes to public tenders that, by law, have to be product-neutral (i.e., brands must not be mentioned). Therefore, the ICT trade association BITKOM and public procurement agencies forged a partnership to develop guidelines for public ICT procurement. In addition to ones for product-neutral procurement, there are also guidelines that deal with environmental aspects of ICT products and thereby help foster green public procurement. The initiative has produced guidelines for different product groups that are available in five languages.

Links: [www.itk-beschaffung.de](http://www.itk-beschaffung.de)

## Financial services



Awareness-raising

### Klima+Finanzen

Germany



**Date of creation**  
2010

**Public bodies**  
Federal Ministry for the  
Environment (BMU)

The Federal Ministry for the Environment launched a "Klima+Finanzen" week of action in 2010 that informed investors about "climate-friendly investments". For this purpose, an exhibition on "climate and financial opportunities" was sent on a road show, stopping at banks, insurers and pension funds. It aimed to encourage financial service providers to make a contribution to reaching Germany's climate-protection goals. Such contributions can take the form of granting loans for projects involving climate-protection measures, offering clients climate-friendly financial products and providing clients with the information they need to make eco-conscious decisions about investments, loans and insurances.

Link: [www.klima-und-finanzen.de](http://www.klima-und-finanzen.de)

### Finances & Pédagogie

France




**Date of creation**  
1957


**Public bodies**  
Ministry of Education

Founded by the *Caisses d'Epargne* in 1957, this association works especially among young people in educational settings. It is a certified training entity with 25 regional departments, and it aims to combat over-indebtedness and financial exclusion through its involvement in social insertion and cohesion programmes. As part of the programme, savings banks offer workshops on how to manage a budget, a loan and the relationship with the bank. Their workshops are held in schools, companies and NGOs so as to educate a broad range of people in need of financial know-how. In 2010, the Ministry of Education awarded the association the status of "additional educational association of public education".


Link: [www.finances-pedagogie.fr](http://www.finances-pedagogie.fr)

The Sustainability Forum Zurich		Switzerland 
<b>Date of creation</b> 1998	This independent, nonprofit, nonpartisan association was founded in Zurich by leading representatives drawn from business, academia and public authorities in order to promote the Greater Zurich Area as a focal point of a sustainable Swiss economy with an international outreach. It focuses on sustainability topics relevant to the financial market. The purpose of the association, as laid down in its statutes, is to organise and stage the annual International Sustainability Leadership Symposium and other dialogue events as well as to conduct relevant research and projects. Major players in the public sector are the City and the Canton of Zurich, both of which are Forum members.	
<b>Public bodies</b> Canton of Zurich; City of Zurich		


Link: [www.sustainability-zurich.org](http://www.sustainability-zurich.org)

Edufinet		Spain 
<b>Date of creation</b> 2007	The aim of this project, whose private partner is the Spanish savings bank <i>Unicaja</i> , is to promote financial education so as to contribute to the diffusion of knowledge about how the financial system works and to the expansion of financial education. In doing so, it aims to achieve higher degrees of transparency, safety and responsibility in the development of financial relations between citizens and financial intermediaries and, consequently, to foster a higher degree of efficiency in financial markets. Its website, launched in December 2007, was the first Spanish initiative to be included in the OECD's International Gateway for Financial Education.	
<b>Public bodies</b> International University of Andalusia; University of Málaga		

Links: [www.edufinet.com](http://www.edufinet.com)

The UK FORGE Guidelines		United Kingdom 
<b>Date of creation</b> 2002	Guidance on CR management and reporting for the financial services sector was published in the UK in 2002 by the FORGE group comprised of eight financial services firms. Its development was supported by consultation with seven stakeholder organisations, three government departments, the British Bankers' Association and the Association of British Insurers. It explains how to integrate CR issues into business-as-usual activities from a business perspective, highlights the complex and integrated nature of CR issues and some of the critical challenges in implementing and demonstrating a response, and provides practical advice on implementing CR management and reporting processes.	
<b>Public bodies</b> Department for Environment, Food & Rural Affairs; Department for International Development; Department of Trade & Industry		

Link: [www.mhcinternational.com/monthly-features/articles/135-corporate-social-responsibility-and-finance-forging-a-path-ahead](http://www.mhcinternational.com/monthly-features/articles/135-corporate-social-responsibility-and-finance-forging-a-path-ahead)

Raad voor Microfinanciering		Netherlands 
<b>Date of creation</b> 2007	The Ministry of Economics founded this council to disseminate knowledge about and support initiatives that promote microfinancing in the Netherlands. The "Council for Microcredits" aims to establish links between government agencies, financial institutions, universities and other organisations involved with small-scale start-ups and engaged in microfinancing in the Netherlands. In addition, it provides access to and awareness of existing and new initiatives for the entrepreneurs engaged in such ventures, and it advises government ministers on how to better formulate and implement policies related to loans for them.	
<b>Public bodies</b> Ministry of Economics		

Link: [www.rijksoverheid.nl/documenten-en-publicaties/persberichten/2007/03/14/prinses-maxima-lid-raad-voor-microfinanciering-in-nederland.html](http://www.rijksoverheid.nl/documenten-en-publicaties/persberichten/2007/03/14/prinses-maxima-lid-raad-voor-microfinanciering-in-nederland.html)



Awareness-raising



Partnering



Partnering

### Frivillig gældsrådgivning

Denmark



**Date of creation**  
2007

**Public bodies**  
Ministry of Social Affairs and  
Integration

After noting an increased lack of basic economic competencies among their customers, Danish banks decided it was in their long-term interest to address this problem holistically, partly through precautionary measures (enhancing financial understanding) and partly by addressing the consequences. The "Voluntary Debt Consultancy" relates to the latter. It helps disadvantaged people gain a general overview of their personal financial situations and motivate them to pay off their debts. It is a multi-stakeholder initiative of the Ministry of Social Affairs, the Danish Bankers Association and various NGOs. The role of the government is initiation, monitoring and funding.

Link: [www.finansraadet.dk/bankkunde/information-og-raadgivning/frivillig-gaeldsraadgivning.aspx](http://www.finansraadet.dk/bankkunde/information-og-raadgivning/frivillig-gaeldsraadgivning.aspx)

### Mikrokreditfonds

Germany



**Date of creation**  
2000

**Public bodies**  
Federal Ministry of Labour  
and Social Affairs

The Federal Ministry of Labour and Social Affairs works together with GLS Bank, a pioneer in microcredit services, and dozens of microfinance institutions to offer microcredits to otherwise possibly "unbankable" people in order to help them start small businesses. With the microcredit fund, Germany's federal government aims to improve access to capital for small businesses and start-ups. Since its launch in 2010, more than 10,000 credits have been awarded, which significantly exceeded the original plans. At the moment, the crucial task is building permanent and sustainable microfinance structures that provide specific target groups with fast and easy access to capital.

Link: [www.mikrokreditfonds.de](http://www.mikrokreditfonds.de)

### France Active

France



**Date of creation**  
1988

**Public bodies**  
Caisse des Dépôts et  
Consignations; the related  
Fonds de Cohésion Sociale;  
the departmental Conseil  
Généraux

*France Active* is an initiative that helps potential entrepreneurs lacking sufficient securities to obtain bank loans by offering them guarantees at reasonable rates and conditions. The organisation was founded in 1988 by the public bank *Caisse des Dépôts et Consignations*, the NGO *Fondation de France*, the mutual bank *Crédit Coopératif*, the mutual insurance company *Macif* and the *Agence pour la création d'entreprise* (APCE). The initial aim was to help the unemployed become self-employed or launch small enterprises. In 1995, it created 23 departmental sections to handle direct client contact. The initiative has expanded its target group to include people in precarious working situations as well as organisations that employ people who have disabilities or are otherwise disadvantaged on the labour market.

Link: [www.franceactive.org](http://www.franceactive.org)

### Comité Nacional Anti-Contrefaçón

France



**Date of creation**  
1995

**Public bodies**  
General Inspectorate of the  
Ministry of Industry; various  
public partners

Created in April 1995, the "Committee Against Counterfeits (CNAC)" unites public entities and private actors in efforts to suppress the violation of intellectual property rights through counterfeiting. The main goal is to improve the efficiency of the entire national system. It also provides consultation and serves as a conduit for information between government and industry. Its creation was advocated by the General Inspectorate of the Ministry of Industry during the preparation of the Act of 5 February 1994 on the punishment of counterfeiting (Loi Longuet). The CNAC is traditionally chaired by a member of parliament, while the secretariat is run by a civil servant.


Link: [www.contrefacon-danger.com](http://www.contrefacon-danger.com)

Grupa robocza do spraw odpowiedzialnych inwestycji		Poland
<b>Date of creation</b> 2009	<p>"Working Group On Responsible Investment" was established in 2009 as one of four working groups under the umbrella of the Ministry of Economy's Group for Social Responsibility. As a stakeholder forum, it prepares public policy recommendations for the financial sector. It is coordinated by Poland's largest employers' organisation and includes representatives from various financial institutions and consultancies. In order to support the working group, the Ministry of Economy published a "Handbook of Public Consultation with Infrastructure Investments" in 2010. The following year, it also published a report, "ESG Reporting in State Enterprises and Companies of the Treasury".</p>	
<b>Public bodies</b> Ministry of Economy		

Link: [www.mg.gov.pl/Wspieranie+przedsiębiorczosci/Zrownowazony+rozwoj/Spoleczna+Odpowiedzialnosc+Przedsiębiorstw+CSR/Zespol+CSR/Grupy+robocze](http://www.mg.gov.pl/Wspieranie+przedsiębiorczosci/Zrownowazony+rozwoj/Spoleczna+Odpowiedzialnosc+Przedsiębiorstw+CSR/Zespol+CSR/Grupy+robocze)




Partnering

Cajas de Ahorro		Spain
<b>Date of creation</b> various	<p>Spanish saving banks are stakeholder-based financial institutions that hold roughly 40 per cent of the financial sector's assets. Even after various legislative reforms in the 1980s and 1990s, some of their stakeholder focus still remains. Regional governments play the main role in the promotion of CR by passing complementary laws and participating in steering bodies. The governing bodies include a general assembly, whose members (between 60 and 160) are chosen from among depositors, representatives of local governments, company founders and employees, and an administrative board, whose members are chosen from among the members of the assembly.</p>	
<b>Public bodies</b> Economy departments of regional governments; Ministry of Economy		


Link: [www.ceca.es](http://www.ceca.es)



Soft law

Kanon Dobrych Praktyk Rynku Finansowego		Poland
<b>Date of creation</b> 2007	<p>The "Canon of Good Practices on the Financial Market", published in 2007, comprises 16 rules for the financial market recommended by Poland's Financial Supervision Authority. It came into being through a multi-stakeholder process involving 30 organisations. The principles target issues such as performing due diligence, inspiring confidence, preventing conflicts of interest, protecting client information and promoting fair competition. Its main goal is to protect customers of financial services and balance the asymmetric distribution of information between financial institutions and their customers. At present, 17 institutions claim to adhere to the code.</p>	
<b>Public bodies</b> Polish Financial Supervision Authority		

Link: [www.knf.gov.pl/dla\\_rynku/kanon\\_praktyk/index.html](http://www.knf.gov.pl/dla_rynku/kanon_praktyk/index.html)

Beipackzettel		Germany
<b>Date of creation</b> 2011	<p>Since July 2011, all banks in Germany have had to provide transparent written information about the products they sell (so-called "information leaflets") and to take minutes during sales talks with their private customers. The initiative is monitored by the Federal Ministry of Food, Agriculture and Consumer Protection. The leaflets must comprise the opportunities and risks of an investment product (e.g., derivatives such as warrants and certificates) so that consumers can easily understand them. Banks are only obliged to give this information directly to potential clients and not to publish them online. Likewise, each bank can choose the specific form of the leaflet for each product.</p>	
<b>Public bodies</b> Federal Ministry of Food, Agriculture and Consumer Protection (BMELV)		

Link: [www.bmelv.de/SharedDocs/Pressemitteilungen/2011/131-AI-Beipackzettel.html](http://www.bmelv.de/SharedDocs/Pressemitteilungen/2011/131-AI-Beipackzettel.html)



Mandating



Mandating

### Treating Customers Fairly

 United Kingdom 

**Date of creation**  
2000






**Public bodies**  
Financial Services Authority  
(FSA)

Although this mandating initiative by the FSA, the UK's regulatory body for the financial services industry, only ran from 2004 to 2009, its principles remain part of ongoing regulation. They apply to all retail financial services, including banking and insurance, and set standards of customer treatment in the sector. There are six outcomes that firms must demonstrate they are achieving, such as consistently delivering fair outcomes to consumers and having management assume responsibility for ensuring that the firm and staff at all levels deliver the consumer outcomes relevant to their business through establishing an appropriate culture.

Link: [www.fsa.gov.uk/doing/regulated/tcf](http://www.fsa.gov.uk/doing/regulated/tcf)

## Sector-specific CR in five industry sectors

The following table gives an overview of the state of sector-specific CR in Europe. The information represents a summary of the results of an online-survey with national CR experts, a snap poll with national industry experts and telephone interviews with international experts. This data was complemented by extensive literature and desktop research.

Sector	Characteristics	Challenges	Issues
 <b>Chemicals</b> Share of GVA – 10.7 Share of workforce – 5.4	resource-intensive; decisive for technological developments; use of hazardous substances; affect on environment and human well-being; mostly business-to-business	demographic change; climate change; scarcity of natural resources	environmental protection; health and plant/product safety; labour practices; corporate governance; climate protection; innovation
 <b>Construction</b> Share of GVA – 5.6 Share of workforce – 7.1	delivers infrastructure for other sectors; bulky, expensive, long-lasting and often customer-tailored products; price competition and time pressure; project-based character; locally organised and SME-dominated; relevant for public procurement; long, complex supply chains	scarcity of resources; financial and economic environment; association with corruption	health and safety; eco- and energy efficiency; labour practices; operational and business practices (e.g., anti-corruption)
 <b>WRT</b> Share of GVA – 9.3 Share of workforce – 11.5	<b>wholesale trade</b> large, low in number and capital-intensive deliveries; transportation and warehousing are essential; specialisation in one product group; relevant to public procurement; <b>retail trade</b> customer loyalty and satisfaction are essential; broad spectrum of goods; SME-dominated; gatekeeper between producers and consumers	climate change; poverty and inequality; financial and economic environment; scarcity of natural resources; competition from emerging markets	energy and water use; packaging and waste management; transport and use of sustainable materials; working conditions (e.g., wages, gender discrimination); health and safety; global supply chain; employee and customer relations; carbon footprint of products
 <b>ICT</b> Share of GVA – 8.0 Share of workforce – 3.3	dynamic, innovative and diverse; second-most-globalised sector; key factor for growth (e.g., productivity, innovation and efficiency); convergence of products and markets; relocation of production facilities to low-income countries; division between production and services and between R&D and manufacturing/assembly	financial and economic environment; resource scarcity; competition from emerging economies; illiteracy	<b>production subsectors</b> labour conditions; health and safety; environment <b>telecommunications</b> fair operating practices; e-waste; job quality (e.g., working conditions, gender, wages, working hours, etc.); consumer relations; community involvement
 <b>Financial services</b> Share of GVA – 7.5 Share of workforce – 4.6	intermediary function in the economy; diversity of financial institutions; differentiation between direct and indirect impact of financial institutions	trust problems; financial and economic environment	customer relations; employee relations; community involvement; environmental issues; financial inclusion; fair operating practices (e.g., anti-corruption);

## Method and research design

This study is largely based on the book *Corporate Responsibility in Europe: Government Involvement in Sector-specific Initiatives* by Thomas Beschorner, Thomas Hajduk and Samuil Simeonov. The explorative study was jointly conceptualised by the Bertelsmann Stiftung (Germany) and the Institute for Business Ethics at the University of St. Gallen (Switzerland).

We used a two-step research design: The first phase included an online survey, a snap poll and telephone interviews with experts. The second phase focused on examples of sector-specific CR initiatives and how they work.

The online survey addressed national CR experts in the eight countries. The aim was to gather information about sector-specific CR initiatives. Furthermore, national trade associations were polled with regard to their views on CR. The respondents were asked about the importance of CR in their industry, about the most relevant challenges and issues their industry faces, and about their preference regarding certain types of government involvement. Lastly, telephone interviews with international CR and industry experts were conducted in order to obtain an international perspective. In total, 42 national CR experts and 34 national industry experts participated in the online survey and the snap poll, respectively. Moreover, 16 telephone interviews with international experts were conducted.

The second part builds on close collaboration with leading European CR scholars in the relevant countries. These scholars included: Marta de la Cuesta González and Eva Pardo (National Distance Education University Madrid) for Spain; Tobias Gössling (Tilburg University) for the Netherlands; Janusz Reichel (University of Łódź) for Poland; Julia Roloff (ESC Rennes

School of Business) for France; Anja Schäfer (The Open University Business School) for the UK; Steen Vallentin and Andreas Schmiegelow (Copenhagen Business School) for Denmark; and Christoph Weber-Berg, Sabrina Stucki and Sandra Huber (HWZ University of Applied Sciences in Business Administration, Zurich) for Switzerland. Desk research was conducted in parallel with these phases.

The sample of countries was determined on the basis of political and socioeconomic differences in Europe and the consequently different approaches to CR. It includes seven EU member states representing different types of market economies and one member of the European Free Trade Association (Switzerland).

We chose sectors that have a broad range of differences (in terms of business models, economic structures, consumers and other factors). Moreover, they are significant to their country's economy (understood as a share in the country's GVA). It is noteworthy that the five sectors are on a fairly high level of aggregation, which noticeably differs from the everyday use of these terms and sometimes even from companies' understanding of them. For example, financial services include financial transactions as well as insurance and pension funding, while the manufacture of chemicals includes the pharmaceutical industry, which is not a subject of this study.



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## Endnotes

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- <sup>2</sup> See Nelson 2008.
- <sup>3</sup> See Hoxtell et al. 2010.
- <sup>4</sup> See Doran 2002.
- <sup>5</sup> See United Nations Commission on Sustainable Development 2012.
- <sup>6</sup> See United Nations Global Compact 2012.
- <sup>7</sup> See Nelson 2008.
- <sup>8</sup> See Börzel and Risse 2005, 2010.
- <sup>9</sup> See Elsig and Amalric 2008; European Economic and Social Committee 2005; Hepburn 2009.
- <sup>10</sup> See Hoxtell et al. 2010.
- <sup>11</sup> See European Commission 2011a.
- <sup>12</sup> See Nelson 2008.
- <sup>13</sup> See Knill and Lehmkuhl 2002.
- <sup>14</sup> See Rasche and Gilbert 2012.
- <sup>15</sup> For instance, the sectoral social dialogues under the auspices of the Directorate-General Employment, Inclusion and Social Affairs represent one of the first examples of self- and co-regulation in Europe (European Social Committee 2005).
- <sup>16</sup> Hoxtell et al. (2010) introduce the term “sector-specific multi-stakeholder initiative”, which is very similar to our definition of sector-specific initiatives.
- <sup>17</sup> See Peters and Röß 2010.
- <sup>18</sup> This number might even be higher since many of them have an implicit character and are therefore often not referred to as CR.
- <sup>19</sup> The chemicals sector seems to be an exception in this regard, as we only found five initiatives in it. The reason for this might be the presence of national chapters of the Responsible Care programme.
- <sup>20</sup> *Minergie* and *Effinergie* are included in the Appendix of this study. By contrast, *Passivhaus* is an initiative without government involvement. For more information, visit [www.passiv.de](http://www.passiv.de).
- <sup>21</sup> See Albareda et al. 2007; Hall and Soskice 2001; Siaroff 1999.
- <sup>22</sup> See Hepburn 2009 and Australian Government 2010.
- <sup>23</sup> See Gradl et al. 2011 and Kania and Kramer 2011.
- <sup>24</sup> See Biedermann 2007.
- <sup>25</sup> The participation of trade associations might be essential because they usually represent a large number of companies, most of which are SMEs.
- <sup>26</sup> See Kania and Kramer 2011.
- <sup>27</sup> [www.globalreporting.org/reporting/sector-guidance/Pages/default.aspx](http://www.globalreporting.org/reporting/sector-guidance/Pages/default.aspx).
- <sup>28</sup> Due to severe budget cuts, in 2012, Spain’s government decided to suspend the funding of the industrial watches. See: [www.ccoo.com/comunes/recursos/1/doc108864\\_PGE\\_2012\\_MINETUR.pdf](http://www.ccoo.com/comunes/recursos/1/doc108864_PGE_2012_MINETUR.pdf).
- <sup>29</sup> [www.mvonderland.nl/content/pagina/aan-slag-met-mvo-oud](http://www.mvonderland.nl/content/pagina/aan-slag-met-mvo-oud).

<sup>30</sup> See Danish Government 2008, 2012.

<sup>31</sup> The figures for the different sectors in this table originate from different sources: Chemicals (CEFIC 2011): figures from 2007. The figures here also include those of the pharmaceutical industry, which is not a subject of this study. According to Eurostat (2009), the fuel-processing and chemicals sectors' share of GVA in 2005 was 4 per cent; Construction (Eurostat 2009): figures from 2007; WRT (Eurostat 2009): figures from 2006; ICT (OECD 2010, 2011): figures from 2008; Financial Services (Eurostat 2009): figures from 2006. In total, 42 national CR experts from the eight countries in focus participated in the online survey, 34 national industry experts from 20 European countries participated in the snap poll, and 16 telephone interviews were conducted with international experts.

## About the Bertelsmann Stiftung

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## Corporate Responsibility in Europe

The sector-specific approach to Corporate Responsibility (CR) has attracted little attention so far, although the industrial sector is a key variable in any company's economic environment. Therefore, this book introduces sector-specific CR as a way to increase the success and impact of business engagement. It focuses on sector-specific initiatives with government involvement as appropriate governance mechanisms to address sustainability challenges through public-private collaboration.

What is the state of sector-specific CR across Europe? How do sector-specific initiatives work and what are criteria for their good performance? What roles do governments play in such initiatives? To answer these questions, the book draws on rich empirical evidence from five industries across eight European countries as well as on the expertise of numerous CR and industry experts. In doing so, its target audience is both researchers and practitioners. Academics will find a starting point for further research in this emerging field, whereas practitioners are offered empirical and effective models for promoting sector-specific CR.



*Thomas Beschorner, Thomas Hajduk,  
Samuil Simeonov*

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