Corporate Social Responsibility (CSR) and Leadership in South Africa:

What motivates high-level business leaders in South Africa to drive CSR within their companies and beyond?

Proefschrift ter verkrijging van de graad van doctor aan Tilburg University op gezag van de rector magnificus, prof. dr. E.H.L. Aarts, in het openbaar te verdedigen ten overstaan van een door het college voor promoties aangewezen commissie in de aula van de Universiteit op woensdag 19 april 2017 om 14.00 uur

door

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“Optimism is a strategy for making a better future. Because unless you believe that the future can be better you are unlikely to step up and take responsibility for making it so.”

Noam Chomsky

1 Introduction

This thesis and its outcome aim to promote the topic of corporate social responsibility (CSR) among selected business leaders in South Africa because a responsible business world is an essential key player in creating a better future. Mervyn King, the chairman of the South African King Report1 (which is the first South African Corporate Governance Conduct), encouraged company directors and business leaders “to set aside one’s prejudices, one’s present needs, and one’s own self-interest in making a decision” and describes decision making in business as an “intellectual exercise that takes constant practice” (…) and sees it as “a journey and not a destination.” Thus, promoting and living CSR within the business world can be seen as a constant and challenging balancing act.

In this introduction, I will provide a brief definition of CSR, as well as its historical and contemporary context. I will subsequently explain where I see important and hitherto unexplored connections between the topic of CSR and the field of leadership and motivation, as well as explain how I developed my inquiry2 question. To conclude, I will briefly describe the outline of the following chapters.

How can CSR be defined?

By now, corporate social responsibility has become a buzzword used by a wide range of people, often conveying different meanings. A quite consolidated definition for CSR was provided by the European Union in 2011, describing CSR as "the responsibility of enterprises for their impacts on society" (Williamson et al. 2014, 7). Despite being very short, it helps to cut through the “definition jungle” that has been growing in recent years. Nonetheless, I believe that this exponential growth of definitions is not necessarily detrimental to the relevance of the CSR topic; rather, as

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2 Please note that going forward I will use the terms inquiry instead of research to enhance the fact of that I am not following the classical research approach of testing a hypothesis.
much as this “wilderness” can cause confusion, it also keeps CSR “alive and moving,” as will be shown later on.

**What is the CSR context?**

Historically, the idea of CSR dates back to the beginning of the early 19th century, when industrialization was on the rise and companies began to engage in philanthropic activities, increasingly taking responsibility for their workers and surrounding communities, although some were more active than others.

After decades of remaining a topic of academic concern, CSR has increasingly gained traction in the business world over the past 20 years. Nowadays, it is a highly relevant topic for companies, in a development that has been driven mainly by three reasons (Carroll 2008; Visser and Tolhurst 2010; Pope and Wæraas 2016):

- first: external and internal legislation continues to force companies to act in compliance with social and ecological standards;
- second: voluntary reporting standards such as the Global Reporting Initiative have become more widely accepted; and
- third and most importantly: companies have started to understand the (financial) benefits of CSR, such as risk minimization, better external reputation, higher employee motivation, attractiveness, etc. Accordingly, long-term economic success is based upon leveraging these and other CSR benefits.

Over the last 50 years, numerous books and articles have been published compiling CSR definitions, concepts, developments, best practices and case studies. In the last 20 years, an entire industry has started creating KPIs and measurement models for companies to demonstrate their CSR success. CSR has also become increasingly connected to leadership topics over the last two decades, including the motivational aspect.

**Why is it important to connect insights from leadership and motivational studies to CSR?**

To date, numerous books and articles have drawn a connection between CSR and leadership (see chapter 5). In these works, it is generally assumed that high-level leaders can play an important role model function regarding CSR. If executives sincerely promote responsible behavior within

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3 The website [http://www.sustainablebrands.com/solutionproviders/members/83](http://www.sustainablebrands.com/solutionproviders/members/83) lists consultancies regarding CSR topics. To only name a few: Big consultancies like Price Waterhouse Coopers, Accenture etc. have integrated it into their portfolio and special reporting firms such as EMG, a Dutch consultancy founded in 2004.
their organization, the chances are high that positive outcomes for the environment, society and companies themselves will follow.

A great example to support this point is Ray Anderson, the former CEO of Interface Inc., one of the world’s largest US-based carpet manufactures. He completely reinvented his organization to work toward the goal of eliminating any negative impact on the environment, as you can review on his website (linked below).

Fig. 1:  Role model CEO Ray Anderson

In 1994, Interface® Founder Ray Anderson challenged its company to pursue a bold new vision: "Be the first company that, by its deeds, shows the entire world what sustainability is in all its dimensions: people, process, product, place and profits - and in doing so, become restorative through the power of influence". The Interface journey toward sustainability has been a momentous shift in the way they operate business and see the world. Move through their website for a closer look at their progress, and find out how to get involved in the Mission Zero® journey.


In Germany, many CEOs of mid-sized companies have strongly embraced the CSR topic. As the former Bionade CEO, Peter Kowalsky – who introduced the first bio-soft drink in Germany – reflected in 2014: “I believe that it is possible to earn money and behave with integrity: integrity for nature, society, employees and for yourself.” Or as Wayne Visser, Vice President of Sustainability Services at Omnex Inc, puts it: “The purpose of a company is never to make profit, it is like saying the purpose of a human being is to breathe. We need to breathe of course, it facilitates our lives, but it is never going to be the purpose. The purpose of a company is to deliver value in society and that includes social value and environmental value.”

Working in the field of Leadership Development for the past 20 years, I wanted to build upon my personal expertise to further explore the connection between leadership, personal motivation and CSR. I aspire to inspire leaders to act responsibly because a responsbly acting business world will play a major role in keeping this planet alive. As Michael Porter and Peter Kramer elaborate in their article on shared value (Porter and Kramer 2011): business can be the solution and not part

4 http://www.forum-csr.net/News/7635/ Miteinanderlernen.html, 15.2.2015, accessed February 2015
of the problem – if they want. Or as Globescan and SustainAbility (2012, 27) demonstrate the potential and capacity of the private sector in their report from 2012:

“Business also brings unparalleled capacity, resources and reach to the task at hand. (...) The sales revenues of the world’s largest company, Wal-Mart Stores Inc., are higher than the GDPs of all but 25 countries. At 2.1 million, its employees outnumber the populations of almost 100 nations. The world’s largest investment manager, a low-profile New York company named BlackRock, manages $3.5 trillion in assets—greater than the national reserves of any country on the planet. Over the last century, the world’s biggest private-sector organizations have come to dwarf all but the largest governments in resources, global reach, and influence.”

This influence or dominance carries a responsibility that the corporate world should act upon and become a serious player of CSR as Michael Hopkins also elaborates in his 2006 book on CSR and International Development (Michael Hopkins 2006, 5ff).

**How did I choose my field site and develop my inquiry question?**

I chose South Africa as a field site since I wanted to specifically explore the CSR-leadership connection in an emerging market. I was curious to ascertain whether the conflicting objectives of making money and acting responsibly might be particularly difficult to manage in emerging markets, where growth is one of the leading paradigms and concerns.

A further reason why I chose South Africa was due to existing personal connections. I lived in South Africa for six months in the early-1990s, working for Daimler. Still today, I travel there on a regular basis as a leadership consultant, while good friends keep me updated about economic and political changes in the country.

Defining my inquiry question was a quite reiterative process, during which I passed through different phases and inquiry stages, which I will elaborate upon in chapter 3.

For now, I will simply state the inquiry question that eventually became the core of this thesis:

*What motivates high-level business leaders in South Africa to drive CSR within their companies and beyond?*

This question emerged right after my second field trip to South Africa in 2014. I had initially asked different local South African CSR stakeholders what kind of inquiry focus would add value for them in their daily work, based upon my intent to co-create and contribute something for their direct use. This direct question, however, often did not lead to answers but rather prompted ques-
tion marks and silence. Indeed, I will reflect upon this reaction more extensively in chapter 3. The ultimate inquiry question stated above was then initiated through a conversation with a CEO of an automotive company reflecting on CSR motivation/inspiration in connection with CSR actions.

Further conversations later on in the inquiry process brought to the fore the demand for practical material that would inspire leaders to reflect and focus on CSR issues in their daily leadership practices. Thus, the idea was born to not only have a written thesis as an outcome of this research, but to co-create applicable and inspiring material together with my South African partners and other interested colleagues. As the outcome of this process, a booklet for CSR managers and executives entails a collection of inputs, images, questions, quotes, poems and interventions for individuals, teams and organizations, all around the topic of responsible leadership. My hope is to create curiosity, inform and inspire leaders to reflect upon the issue of CSR and act accordingly.

This has been my main personal motivation for this inquiry, which has kept me focused throughout the different phases of this PhD project.

As you may have noticed in the preceding paragraphs, this thesis is not constructed along traditional research methods. I am not testing a hypothesis, I am not starting with a well-defined question, I am not doing research about something – instead I am following the guidelines of Social Construction inquiry (see also chapter 2), which are: I enter this inquiry journey with a hope to co-create something on CSR and leadership. I want to engage the participants in joint actions and conversations.

I do not see myself as the expert, yet I like to jointly define and explore what is possible in furthering CSR in the leadership arena. I intend to build a bridge between the academic and the business world and create this thesis as a feasibility study that hopefully outputs a creative contribution to the field of CSR and leadership.

**What is the structure of my dissertation?**

To conclude this brief introduction, I will now provide an overview on how I structured the following document and how to read them best.

In the next chapter, chapter 2, I explain how I came to **Social Construction**, what I understand about it and what it means for my PhD thesis. I have written this chapter partly in a conversation-style with a fictitious manager because it helped me to formulate my understanding of Social Construction in a language that is clear and direct.
Chapter 3 is the main part and core chapter of this thesis. I will take you on my inquiry journey, giving you an overview of how the inquiry started, evolved and eventually concluded. This chapter will also include a description of the inquiry methods and will show the results, their limitations and future implications. I wrote this chapter in a “diary style,” meaning I will share personal experiences as well as moments and stories that touched and impressed me. Throughout this core chapter, I will offer you to jump to the following chapters for background information.

These background chapters (chapters 4–7) are written in a descriptive and information-oriented style providing you with more detailed and academic background on each topic:

In chapter 4, I elaborate deeper upon the concept of CSR, including its various meanings and historical development, as well as shedding some light on existing critiques of the concept.

In chapter 5, I describe the current research situation as well as the economic, cultural and political background of CSR in South Africa.

In chapter 6, I present an overview of various leadership concepts and connect them to the topic of CSR. I will show how the relevance of a more responsible form of leadership has been evolving over the last decade but still has room for improvement.

In chapter 7, I will focus on motivation theories and concepts since they provide the basis of the core inquiry question: “What motivates high-level business leaders in South Africa to drive CSR within their companies and beyond?” I will also show how those theories can potentially be applied to CSR.

Again, I am aware of this unusual structure, which does not begin the thesis with a literature research and explanations of the key concepts of CSR, CSR in South Africa, leadership and motivation. However, the rationale behind this structure is to firstly frame the thesis with the chapter on Social constructions that clearly influenced the way the inquiry was carried out. To then – in Chapter 3 – take you on the inquiry journey and let you participate in it chronologically. Chapter 4–7 then offers the explanation of the key concepts accompanied by the literature research and relevant findings.

Chapter 8 concludes this thesis. I summarize and outline the major take-aways from the study; in addition, I also reflect upon what I have personally learned over the last three years, before leaving the reader to consider a set of potential further inquiry topics.

The appendix consists of the questionnaires, the transcribed interviews and several materials that were used and created during the journey. Also, I am offering a chapter with background infor-
mation about myself. It provides you with a better understanding of who I am, what my upbringing was like and how it shaped me. I will also share how my professional and private life evolved over the years and how my life biography influences my biases and principles. This is not meant as a simple introduction of myself but rather me reaching out to you, building a relationship and creating an understanding of how my personality has shaped this inquiry. Furthermore, the content of the CSR booklet material for managers will be introduced.
“Social Construction is like an invitation to dance, a game, a conversation or a form of life.”

Ken Gergen

2 Embracing Social Construction

2.1 How I came to Social Construction

I remember receiving the book “An invitation to Social Construction” (K. J. Gergen 2009a) from my dear friend Jane Petersen in 2004. I admit that I have not been reading much social science since I left university, although with this book it was different. From the first moment, I felt as if I were in communication with the author and read the book from the first page to the last, entirely against my usual practice. I enjoyed reading it, finding it inviting and stimulating. To me, the book opened a new horizon. I felt that I gained 'scientific/academic permission' to think in options, to (de)construct different worlds, different truths, none of them “right” or “wrong”, unless I created this decision for myself or with the people I was shaping “our truth”. Until today, this approach feels truly liberating. With it comes a great responsibility to 'create' and live my truth and its connected values plus remaining open to other views and perspectives. This sounds simple, yet for me it is powerful because it makes my decisions count and likewise creates respect for other ideas and decisions. There is no “it does not matter”: everything can jointly be created. This “mindset” to me is uplifting: it bears chances and risks, yet it foremost bears for me the possibility of movement and motion, which I consider life-giving and enriching.

In this chapter, I will provide a definition of Social Construction, explain the key terms and principles of the concept and address key thinkers who have been influential in the development of Social Construction theory and methods. I will also explain why different commentators have criticized Social Construction. Conclusively, I will describe the way in which Social Construction has influenced my inquiry and writing.
2.2 What Social Construction contains for me

What is Social Construction? In “An Invitation to Social Construction”, Kenneth J. Gergen (2009a, 60) makes us aware that the relevant literature uses different terms that describe slightly different views: radical constructivism, constructivism, social constructivism, social constructionism/construction and sociological constructionism. Alternatively, as Andy Lock and Tom Strong (2010, 6) put it: “There is not one school of social construction. Rather it is a broad church. There are though some expansive tenets that hold it together”.

In line with the basic theoretical idea of social constructionism, there cannot be a single exhaustive definition. Different commentators provide different definitions, which usually have a “familiar resemblance” (Burr 2003, 2). In the field of psychology alone, there is a vast distinction between positions of different thinkers.

So again, what is it? Put simply, social construction is about jointly gaining and creating knowledge and thus reality. This is called the epistemological approach, first introduced by the Scottish thinker James Frederick Ferrier in his 1854 work “The Theory of Knowing and Being” (Ferrier 1854). The way in which Social Construction creates knowledge and reality is through joint communication (Gergen 1997, 254–257). Social constructionist thinkers do not see the world as a reflection or map of the world but rather as a product of joint human interaction, or as Gergen and Gergen (2004, 10) state more radically: “Everything we consider real is socially constructed. Or more dramatically: nothing is real unless people agree it is”.

According to Elder–Vass (Elder–Vass 2012, 7), the term social construction was first introduced in 1966 by sociologists Peter Berger and Thomas Luckmann in their well-known book “The social construction of reality” (Berger and Luckmann 2013). However, the history of the concept does not start nor end with these two thinkers; rather, it has been influenced by various social scientists and philosophers over time, ranging from Giambattista Vico in the 17th century to Michel Foucault in the late-20th century. Indeed, it is still being worked on today by many academics, including the psychologists Ken and Mary Gergen.

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6 Among them Kurt Danziger, Derek Edwards, Ken Gergen, Rom Harré, Jill Morawski, Jonathan Potter, Edward Sampson, John Shotter and Margaret Wetherel. For an overview of different positions and thinkers refer to the article of Henderikus Stam (Stam 2001)

2.3 An imaginary conversation with a manager about Social Construction

As previously mentioned, in the following I will explain key terms and principles of Social Construction, present selected thinkers who had an important influence on the development of Social Construction and will also share critiques of Social Construction. I chose to discuss these issues in the form of an imaginary dialogue with a manager who seems interested in the topic but is not familiar with it. With this approach, I want to encourage myself to be as clear as possible, as a practice for me to consolidate and condense what I have learned about Social Construction. I gained this inspiration while I was reading John Shotter’s website and blog, and particularly his brief abstract about a “Short meditation on a CEO’s question”.

Manager: Ok, I understand that Social Construction can be viewed as creating the world together. I understand that radically speaking, the world only exists when we are creating it and therefore there are infinite ways of doing it.

Annette: Exactly. You can also say that knowledge and sense-making is created together. It is a social process, created through language, behavior and an agreed value of things that it may have to a group of people. Perhaps the following story will help to illustrate this mechanism of 'co-creation' of reality and knowledge. Some parts of the story vehemently violate certain Social Construction principles, yet I will clarify this later. Have you heard about the “ape-banana-rain” story? The story goes as follows:

“A group of scientists placed 5 monkeys in a cage and in the middle, a ladder with bananas on the top. Every time a monkey went up the ladder, the scientists soaked the rest of the monkeys with cold water. After a while, every time a monkey went up the ladder, the others beat up the one on the ladder.

After some time, no monkey dared to go up the ladder regardless of the temptation. Scientists then decided to substitute one of the monkeys. The 1st thing this new monkey did was to go up the ladder. Immediately the other monkeys beat him up.

After several beatings, the new member learned not to climb the ladder even though he never knew why. A 2nd monkey was substituted and the same occurred. The 1st monkey participated on the beating for the 2nd monkey. A 3rd monkey was changed and the same was repeated (beating). The 4th was substituted and the beating was repeated and finally the 5th monkey was replaced. What was left was a group of 5

http://www.johnshotter.com/2015/03/31/a-short-meditation-on-explaining-this-dialogical-stuff-to-others/, accessed 24 August 2015
monkeys that even though never received a cold shower, continued to beat up any monkey who attempted to climb the ladder.

If it was possible to ask the monkeys why they would beat up all those who attempted to go up the ladder ... I bet you the answer would be ... "I don't know — that's how things are done around here". (Hamel and Prahalad 2007, 55–56)

Fig. 2: The Banana-Ape-Story

Manager: Ok, I see your point of co-creation – or rather “co-beating” (he smiles). But isn’t this story implying that the way in which these new monkeys behave is wrong? My understanding from our conversation so far is that Social Construction is open to many ways of doing things or giving value. And the monkeys do not explicitly use “language” either, but rather behaviors.

Annette: Yes, that is exactly right. You have already picked up two important violations against Social Construction principles. Regarding your first point: Social Construction explicitly invites a so-called “radical pluralism”. In daily life, this would mean that someone practicing Social Construction should not think of their own traditions and beliefs as right or even superior, but rather they should be open, curious and respectful of other views (Gergen and Gergen 2004, 21). Social Construction tries to put everything under one umbrella. Each of us, or if we have groups of us,
we are only “one truth in operation”. This is also why Berger and Luckmann (2013) like to point out that theoretical and scientific knowledge represents only one specific form of knowledge that we have been creating, next to many other forms of social knowledge. With that, they challenge the dominance of today’s ‘facts and truth’ orientation and rather pledge for plurality. I will return to the differentiation in Social Construction between language and behavior a little later.

**Manager:** Ok then. You mentioned a little earlier that Social Construction has a long tradition of influential thinkers. What exactly did they contribute?

**Annette:** If you are truly interested, I would recommend Lock and Strong’s (2010) book on Social Construction and I am happy to give you a brief summary of the historical background and some key players:

**Annette:** Social Construction is a reaction to Modernism and Positivism and a child of the Postmodern Era. The age of Modernism and Positivism (in the 19th century) asserts that all authentic knowledge allows verification and that all authentic knowledge assumes that the only valid knowledge is scientific. Therefore, scientific, empirical data was seen as the ultimate truth. First, this was only the focus for the classical physical sciences such as math, physics, chemistry, astrology and biology, yet step-by-step the social sciences were also incorporated. The End of Reason or at least *an addition to* the Era of Reason is marked in literature in approximately 1870, when the Postmodern Era started and skepticism revolted on different fronts. In arts, language, science and architecture, postmodernistic thinkers reacted against the assumed certainty of scientific efforts to explain reality. They were challenging the modernistic belief of finite, totalitarian answers driven by rational argument and objective truth. Postmodernistic elements have rather included the importance of human affection and emotionality, greater tolerance towards plurality and room for interpretation. Postmodernism relies more on concrete experience over abstract principles, always being aware that one’s own experience will necessarily be questionable and relative rather than definite and universal (K. J. Gergen 1999, 5–61; Kriek 2012; Burr 2003, 7–15; Weinberg 2008; Best 2008).

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9 “SC makes us aware that knowledge is not something that is an observable fact but it is something we create according to our social and cultural upbringing” (Burr 2003, 5)

10 [https://en.wikipedia.org/wiki/Positivism](https://en.wikipedia.org/wiki/Positivism), accessed 3 September 2015
Annette shows the table (Fig. 3) below to the manager: “Look, this is a helpful and pretty catchy summary to contrast Modernism/Positivism and Social Construction. It explains - admittedly in a quite contrasting way - what beliefs each school favors, e.g. Modernists and Positivists believe in an objective and universal truth, whereas Positivists give credence to historically and culturally shaped knowledge. Please note, that this table does not intent to give the impression that the two schools are mutually exclusive. You will find overlaps and mutual acknowledgement for both approaches.

Fig. 3: Comparison of Modernism/Positivism and Social Construction

<table>
<thead>
<tr>
<th>Modernism/Positivism</th>
<th>Social Construction</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objective and universal knowledge</td>
<td>Historically and culturally shaped knowledge</td>
</tr>
<tr>
<td>Science uncovers and mirrors reality</td>
<td>Science works with certain inquiry groups</td>
</tr>
<tr>
<td></td>
<td>define as valid knowledge and tries to generate new possibilities</td>
</tr>
<tr>
<td>Language describes reality</td>
<td>Language creates our understanding of reality</td>
</tr>
<tr>
<td>Separation of Observer and Observed (Dualism)</td>
<td>Interconnection of Observer and Observed (Monoism)</td>
</tr>
<tr>
<td>Neutral observation is possible</td>
<td>Any observation is made from a particular point of view</td>
</tr>
<tr>
<td>The individual comes before the relationship</td>
<td>The relationship comes before the individual</td>
</tr>
<tr>
<td>Clarity</td>
<td>Ambiguity and Plurality</td>
</tr>
<tr>
<td>Focus on how things are</td>
<td>Focus on how things out to be</td>
</tr>
<tr>
<td>Values facts, truth and predictability</td>
<td>Values co-creation and social responsibility</td>
</tr>
</tbody>
</table>

Manager: OK, that was helpful in terms of understanding the high-level historical background, but you still haven’t given me names of influential thinkers for SC.

Annette: Here you go – I have selected the following for you:

You can go back as early as Giambattista Vico, who was an Italian philosopher (1668-1744). In his philosophy, the idea of construction was already evident, meaning he believed that through the use of fables, events and thus reality is created. Language already plays an important role because

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11 I slightly adapted Haslebo’s (2012, 42) table contrasting Modernism and Social Construction.
it is essential to the comprehension of each other and creating those fables. Vico is also known for the saying "Verum esse ipsum factum", which means "the true itself is made" versus "true itself is fact", which Descartes had proposed a century before. With "Verum esse ipsum factum", Vico was foreshadowing the grounding Social Construction principles of constructed reality (Lock and Strong 2010, 12–20).

Reading Vico’s quote, I was instantly reminded about a paper I once had to write during my coaching qualification, on Bowlby’s attachment theory and its connection to coaching. Browsing through the literature, I found Kaplan’s and Main’s “Adult Attachment Interview” (Kaplan and Main 1985) with its clear message that it is not important if the early bonding childhood memories of a person are true or not, but rather that the here and now feeling of the individual plus the sense-making together with the therapist create his/her current truth.

Now, moving on to Edmund Husserl (1859-1938): he used to be attached to the modern, positivist school, yet turned away from positivism when he founded the phenomenological approach. He believed that knowledge is not only constructed through consciousness but rather through experience. He coined the terms “Lebenswelten” and “Intentionality”. This means our behaviors and actions are intentionally directed toward somebody or something in the external world. (Husserl 1976). Thus, “conscious experience is [intended and] fundamentally relational” (Gergen 1999, 128).

Alfred Schütz (1899-1959), an Austrian philosopher, builds upon Husserl’s work by bringing in the notion that our experiences and meanings are influenced by different worlds and contexts within which we live (Endreß 2006). As a result of multiple realities, languages may also be different. I remember, for example, how astonished I was being on vacation in Finnish Lapland and learning that the Sami - the local people - have as many as 1,000 words for reindeer, e.g. njirru = the unmanageable female or various words describing the reindeer fitness. I think it is a great example of how a person’s environment shapes language, experience and meaning.

The school of Hermeneutics has another strong influence in Social Construction. Hermeneutics is the theory of interpretation and the hermeneutic tradition stretches all the way back to ancient Greek philosophy. Hermeneutics is one of the core issues in Social Construction, because it is about how we interpret things and thus how we create realities together through interpretation. Martin Heidegger (1889-1976) and his close follower Hans Georg Gadamer (1900-2002) are two recent famous representers.

Heidegger is connected to Social Construction through his concept of “Being” (Heidegger 2006) or what is called the “Dasein” in German. “Dasein” means we are thrown literally with our physical
body into the world, whether we like it or not. With this concept, he brings in a facet that is important to Social Construction: the notion that next to language, “being” and communicating through the physical body is vital and creates dialogue and reality.\footnote{Heidegger’s philosophy explained in a video by the School of Life, https://www.youtube.com/watch?v=Br1sGrA7XTU, accessed 3 September 2015} Berger and Luckmann (2013, 53–54) state that we humans “are body” and “have a body”, which shows how inextricably linked we human beings are to our body. Gergen and Gergen (2004, 40) also state that it is not only language that is an important component interactions, but rather that our body language is also vital to the way in which the words will function.

**Gadamer** then adds another notion somehow connected to Schütz. In his book “Truth and Method” (Gadamer 2004), he argues that we always have a pre-understanding, a preconception of truth depending on the world in which we live (Lock and Strong 2010). Thus, we interpret the world with pre-judgment and bias. Intentionally done, this reminds me nowadays of the priming concept that various marketing concepts use to influence and bias us (consciously or unconsciously) towards the purchase of a product. This pre-understanding and bias also has an influence when we are entering a conversation. As Gadamer (2004) advocates, so does Social Construction; namely, when we enter the conversation with an open mind and a personal willingness to suspend the “own truth”, we allow new meaning to be made. The least would be to have or create an awareness of the biases (of the own and the other), and perhaps even uncovering them jointly during the conversation. In this way, we potentially understand the other person better or as Ken Gergen (2014, 4) - quoting Peter Winch - argues: “[...] understanding sometimes involves understanding the contradiction [...]”.

**Mikhail Bakhtin** (1895-1975) is a Russian literary theorist whom I wanted to mention here due to his deep concern of a single authority monopolizing meaning as “Monologue” (Gergen 1999, 130). Next to other concepts, he introduces the concept of “heteroglossia”, which is the possible multi-meaningness of a word or symbol during its use (Lock and Strong 2010, 85–100). This multi-meaningness can come from different cultural backgrounds - as mentioned earlier with Schütz – although it can also depend on the timing of the utterance. Bakhtin thus introduces a chronological aspect in dialogue that may influence the conversational “performance”. This can also be found in an SC principle of positioning a word at the right time, e.g. “good evening” only has a conversational meaning when positioned at the “right” time: we only make meaning if it is conventionally correctly positioned and not said, e.g. in the morning, perhaps during a conversation at the breakfast table or the meaning can become intentionally ironic depending on the time of the utterance.
**Michel Foucault (1926 – 1984):** I am positioning him right after Bakhtin because they both share the concern and interest in knowledge creation and power (Foucault 1980). Foucault, a French philosopher, grew up in an upper middle class family in France and experienced first-hand how the leading class created knowledge and reality and what power this knowledge has. During his time, it was not so much the power of kings and queens, but more the power of various intellectual elites, who created realities and he felt a deep resistance towards this. In the medical field, for example, new categories of illness were created and all of a sudden mental disorder began to flourish. From a Social Construction view, the group of medical experts created new clusters. What is healthy, what is ill? And who decides? The ones in power? Regardless of who decides about the clusters, it is important to be aware in which categories we are thinking and to remain somewhat open and critical towards those created categories. As an example of newly created clusters, I remember facilitating a leadership class in Kenya during which we spoke about stress, and I used the term ‘burn-out’, only receiving blank looks. When I asked if they knew what this means, they had never heard this word and its connotation before and they were also not quite sure what to do with it. For me, this is an interesting demonstration of Social Construction, whereby the reality of burn-out had not yet been created amongst these African managers. For German managers, this category has become a reality to which they often refer. One last word regarding Foucault: the debatable side of Foucault’s philosophical approach is that he aggressively “rejected all kinds of ordering, instead of adopting a posture of differentiating appraisal” (Gergen 1999, 41). Yet, it is through being appreciative and curious about the other opinion that we potentially find new common ways; thus, from a Social Construction view rejection is a potential option to react, but perhaps not a “helpful” one to foster the creation of new meaning.

**Manager:** Aha...

**Annette:** Are you still ok, should I go on?

**Manager:** Yes, yes, it is fine, I am just trying to digest: it is a lot at once!

**Annette:** Then let me share a few more words about Wittgenstein and Kuhn, who belong next to Foucault among the more contemporary philosophers influencing Social Construction.13

**Ludwig Wittgenstein (1889-1951)** is one of the key figures of Social Construction. His first book “Logisch-philosophische Abhandlung” (Wittgenstein 2006) is still based upon the modern and positivistic view. Later in his life, he commented that many severe errors can be found in his early thinking (Wittgenstein 2003, 8). The most important concept for Social Construction that Wittgen-

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13 Ken Gergen talks about Social Constructionist ideas, theory and practice in a video accessible on you tube: https://www.youtube.com/watch?v=AsKFX9lb0, accessed 3 September 2015.
Embracing Social Construction

Stein introduces “Sprachspiele”, the “language games”, which in essence means that a word is like a chess figure (ibid. section 108). It is part of a larger game that people who play it have to understand and create while they play it. Wittgenstein (ibid.) argues that a word does not gain meaning through description but rather through the game, namely the exchange between people.

I remember as a school kid, we had a fantastic ethics teacher and he once played a ‘language game’ with us. One of us had to use the language of the youth, the other of a scientist, the next of a lawyer and we then had to talk to each other. Sometimes we even had to repeat what we had heard in “our” language. Single words/metaphors gained different meanings due to the languages in which they were used. Therefore, during the “language games”, there is a high risk of confusion and misunderstanding. Sometimes it can also occur that if someone is part of a language game that is foreign to him or her, he or she will not understand much, even though the single words are understood. So again, the reference to Social Construction is: relationships bring semantics to a certain life and meaning (and/or confusion); otherwise, words would only be passive, empty and simply sounds (Gergen 1997, 52ff.).

The last philosopher I would like to mention is Thomas Kuhn (1922-1996). He is the person who created the word “paradigm shift.” I understood that his importance for Social Construction is as follows: Kuhn states that even major scientific paradigm shifts do not depend so much on how much “objective, scientific” data we have, but rather if and how many people believe in this data and then create a new reality out of it. Take the paradigm of the “the world is flat”. For the longest time, this idea had been the created reality despite many other convincing “facts” and dialogues. Only when increasingly more people “believed” in the “facts” and entered a different discourse did the reality and paradigm of the “world is round” come into existence.

Manager: Thanks, that was a quick ride and gave me some background. However, it still is difficult for me to summarize the basic assumptions, terms and principles of SC. Perhaps you could repeat them for me?

Annette: Let me try:

- Social Construction believes that we create meaning in relationships and thus we construct the world(s) together or as Gergen (Gergen 2014, 2) puts it: “the relations between world and word is negotiable.”
- This understanding of co-creation and negotiation brings about an “endless invitation of innovation” and opportunities. It is a resource to invite creativity (Gergen and Gergen 2004, 14).
• In Social Construction, meaning is created through language, “life as text” as Vivien Burr (2003, 66) puts it. It is helpful to have awareness of what ‘languages’ we are speaking. It is important because it will influence how we think, act and live. For example, if we speak a more affirmative language, formulating sentences positively, this usually creates a more uplifting feeling.

• Meaning in Social Construction is not only constructed through languages, but also through collective actions, altogether called performances (Gergen and Gergen 2004, 40). Over time, Social Construction has not only created a solid theoretical framework but has also brought forward an array of applied practices, such as Appreciative Inquiry (Cooperrider, Whitney, and Stavros 2008) or the Coordinated Management of Meaning (CMM), with its Daisy or LUUUTT Model, which was developed in the mid-1970s by W. Barnett Pearce and Vernon E. Cronen or Dialogue, the Art of Thinking together by William Isaacs (Isaacs 1999). At this point, it is important to reiterate that words uttered in performance are first of all a combination of letters. However, the meaning of the words comes alive when we are in conversation, e.g. for some, the combination of letters and words are perceived as a joke, whereas for others perhaps as an insult (see Potter and Wetherell 1987, 63).

• Actions can also be stories that we tell each other, whereby an array of stories is what Social Construction calls a discourse (Epston, David; White, Michael and Murray, Kevin 2005, 97ff.). I remember years ago during a personality workshop in Los Angeles that we had the task of sharing our life in a ‘victim’ and ‘winner’ narrative. It was amazing to even physically feel the differences of the different narratives and connected languages. Stories can be self-fulfilling prophecies, again thus the awareness of the language, the narratives we tell others and ourselves is life-shaping.

• Social Construction encourages using (self)-reflection to create awareness in what kind of categories we are thinking. This also helps to enter into dialogue with others.

• Validity in Social Construction differs from validity in regular science: Social Construction validity is about “what new possibilities does my inquiry create?” and “what does my inquiry bring forward?” versus “is the inquiry describing the right facts and theories?” (Gergen 2014, 13-14)\textsuperscript{14}.

• Social Construction reminds us to be aware of our own limitations: we are “one truth in operation”\textsuperscript{15}, no more and no less.

\textsuperscript{14} I elaborated this point as well in conversation with John Rijsman in January 2015

\textsuperscript{15} Taos conference PhD seminar with Mary and Ken Gergen, May 2013
• Thus, Social Construction enjoys thinking in both/and rather than either/or (Gergen and Gergen 2004, 20) or putting it in a more relational perspective: “Self versus others would become self through others”! (ibid. 40).

**Annette:** I hope that this summary has helped to clarify.

**Manager:** Yes, it is coming together but I can already hear critical voices asking me some questions (Gergen and Gergen 2004, 91–102; Gergen 1999, 220–239):

- Does this mean that Social Construction believes that “nothing is real” but rather everything is only a story and we can’t rely on any facts at all?\(^{16}\)
- Does this mean that nothing matters?\(^{17}\)
- Does this mean that e.g. the body, the mind, the individual person is only invented?\(^{18}\)

**Annette:** Social Construction does not deny that there are trees, that there are successful medical treatments, that there is war in certain region of the world, etc. Social Construction is not saying that things do not exist or do not have value or importance; rather, Social Construction wants to emphasize that we create and operate on so-called truth claims born from certain cultural and historical contexts. These truth claims create reality and are helpful and necessary for us to function. They give us guidance and direction. Yet, since they are ‘local’ truth claims depending on a certain context, we should be aware there are many of them. Social Construction wants to invite a narrative between them, to provide an umbrella under which they can create potentially new and helpful narratives together.

I remember watching a film of the Ramallah Concert\(^{19}\) with the conductor Daniel Barenboim and the ensemble of the West-Eastern Divan Orchestra. Barenboim and his close friend, the Palestinian intellectual Edward Said, founded this youth orchestra in 1998. It consists of musicians from Israel and Arab countries as a sign for peace and possible collaboration (amongst local truth claims). During the concert in August 2005 in Ramallah, Barenboim gives a very moving input that describes in my eyes some of the basic principles of Social Construction to create enriched realities together:

"...This orchestra that Edward Said and I brought to live has been sometimes described in a very flattering way for us - as an Orchestra for peace, as an Orchestra that will bring this and that other feeling. Ladies and Gentlemen, let me tell you..."
something. This orchestra will not bring peace and you know that. The fact that these wonderful people play together here will not bring peace. What it can bring is understanding, patience and the courage and curiosity to listen to the narrative of the other. This is what this is about. In this context everybody has the chance to express himself freely and perhaps just as important to hear the version of the other. This is why we come to you here today; we come with the message of humanity, not a political message, but with a message of humanity, a message of solidarity. (...) And that it is our duty, all of us, that we find a way to live together, because either we all kill each other or we learn to share what there is to share. It is with this message that we have come to you today.”

Elaborating on Barenboim’s message, Social Construction would never argue that a war does not exist, it is not nihilistic, it rather states that as human beings we have an option how to go about things. We are influenced by our history, our culture and our past, but we are not determined by it. We can create a new future together: we can be “rule makers” instead of “rule followers” (Shotter and Newson 1982, 45) and remain conscious that it is just our jointly created rule.

Social Construction also does not argue against having values or certain moral believes; rather, it believes that meaning matters and Social Construction does not stop conversations with an ‘it is all relative’ attitude and thus it is best to just give up or do nothing. Social Construction has an interest in inquiring the different values, in understanding and potentially connecting the meaning of multiple and competing realities. This is also why the aforementioned practices of Appreciative Inquiry, Dialogue, etc. have been brought to life. It is about “relational responsibility and not relativism”! (Gergen 2009b, 351–370).

Last but not least, Social Construction does not say that there is not an individual body or mind. Social Construction’s intention is to constructively challenge the concept of the self-contained individual. Writing self-contained, I remember a humorous situation more than 30 years ago when a class-mate of mine at school drew a cow that drank from its own udder and caressed itself with its tail. He showed his painting around, saying that it would be cool to be so independent and a conversation started at that time why he would say that, given that it may also be a bit lonely, etc. Again, in my understanding, Social Construction does not deny the individual, the body, the emotion; rather, it debates the increased society’s underlying individualistic attitude and its potential consequence of isolation, competition and distrust. Social Construction has been interested in creating a new conception of self that moves away from “simple” co-existence and towards community (Gergen 2009b, 366–370; Gergen 1999, 115–117).
2.4 What Social Construction means for my PhD thesis

Social Construction principles have affected my inquiry in various ways. By describing the principles of Social Construction first and subsequently explaining the implications, it will hopefully become clear how they influenced the writing of this thesis.°

- **Co-create meaning:** My goal with this inquiry is to generate something together with the people in South Africa and other leadership colleagues that brings the topic of CSR forward. I did not want to be the outside, distant researcher only describing what I observed. Therefore, my first approach was to ask CSR responsible as well as line managers what topic they might find most beneficial to them to conduct my approach accordingly. All along, my motivation was to generate something that can be used and applied like the booklet with suggestions and inspiration for CSR-interested managers, which you can find in the appendix.

- **Be culturally sensitive:** By locating my inquiry question to South Africa, I knew – despite having lived in the country for a while – that I would enter a very foreign culture with rules that I had no idea about. “I did not even know what I did not know”, as one of my colleagues shared a few years ago with me when we were talking about working in foreign cultures. Being in such a different cultural environment compared to my own, I needed to be clear about my own biases and remain sensitive to those of others, to potentially understand the “language game” better. Gerda van Dijk, my co-corrector, cautioned me once to be aware of my own biases and expectations and not to carry the flag of a ‘missionary’ or at least be aware about it and its implications. Therefore, in a separate chapter, I have laid out how I see my upbringing and its connected biases.

- **Practice self-reflection:** The conversation with others and with my inquiry journal became crucial, because it helped me to reflect on a regular basis and discover re-occurring patterns of mine and their meanings. It also helped me to change course when needed. There will be parts in this thesis where I insert these reflections to remain aware of my own writing progress, including potentially stuck states and aha moments, and what they did to my inquiry.

- **Create a joyful and engaging read:** Despite demonstrating that I had done the academic research diving into existing relating literature as well as showing how this topic has been dealt with in the past, how it differentiates itself, what methods have been used to

° The listed principles are reflecting principles taken from M. Gergen and Gergen 2011; Lincoln 2001; Hosking and McNamee 2006.

21 Please see all the background chapters – chapters 4-7.
explore it and what its limitations are, I wanted this to be a joyful read using various ways and approaches to tell my journey.

- **Come from a place of not knowing**: I wanted to feel more comfortable not knowing and use this mindset as the starting place for curiosity and as little judgment as possible. I wanted to insert ‘facts’, yet not be overpowered by them. This was more difficult than I assumed, because I noticed how much I grew up in a social system where information and facts are important. I struggled providing the right amount of ‘facts’ and at the same time allowing myself to share my personal experiences, emotions and stories as well. Sometimes not using structure and numbers - e.g. when I used an open form of interviewing - I was worried that I am not scientific and academic at all. Even though in many parts of this inquiry journey I consciously decided to choose this route, it still felt odd. It has been an interesting process to observe my internal struggle between one part in me that felt obliged to deliver more numbers and facts, etc. and another part that was open for stories, poems and narrative.

- **Be aware that language creates consciousness and meaning**: My awareness of what language I am speaking became clearer to me. I know that I am a bullet-point person, often far too short and too implicit with explanation and stories. The risk is that I simplify a complex know-how area too much due to my language. Miriam, who helped me to proof-read the texts, often told me: “this is too short, I am not getting what you are trying to say”. I then shared it verbally with her and she replied: “well, then write it down like that”. Partially, I learned to adapt, to be more explicit and use potentially more elegant language. However, it was also important that I learned to appreciate and accept my own style as “ok” and not judge it as wrong, bad, a ‘mistake’, but rather simply as a writing style that I prefer, even though it may not fit 100% into the classical scholarly writing.

- **“Do” emotions**: I was more open for stories that I heard and the feelings that they created within me. As Ken Gergen said during the PhD Seminar in Taos in April 2013 – “we do emotions” together. These emotional situations were often my “aha moments”, the true initiators to move me forward with my inquiry and motivate me, as, for example my inspirational phone call with one of the executives proved – see chapter 3.4.

- **“Only one truth”**: My viewpoint of CSR as being something helpful and crucial for a ‘healthy’ economy and society is only one truth. I often needed to remind myself about it and not become too ‘missionary’ and adamant. I always tried to remain open for comments and criticism that challenge the need for CSR in organization. I felt that getting into a deeper dialogue with critiques helped me to gain clarity for my own approach, as well as for potential opportunities that could be created together. I simply want to believe in the
possibility of us human beings creating a world together that is more healing than hurting, that learns to handle our different views and interest through curious listening, clear messages and respectful dialogue, always keeping in mind that there are many truths.

To close this chapter, I want to share a poem by Algernon D. Black, a former senior leader of the New York Society for Ethical Culture. The poem was often quoted in the aftermaths of Hurricane Katrina. I am fully aware of its delicacy in formulating the good versus the evil, a not-so-helpful paradigm in the eyes of Social Construction and to maintaining a dialogue. Nonetheless, I chose it due to the hope that this poem carries for me: the hope and encouragement of bringing people to communion, believing that tolerant and joint action can bring light when we feel it is dark around us.

“This is a call to the living,
To those who refuse to make peace with evil,
With the suffering and the waste of the world.
This is a call to the human, not the perfect,
To those who know their own prejudices,
Who have no intention of becoming prisoners of their own limitations.
This is a call to those who remember the dreams of their youth,
Who know what it means to share food and shelter,
The care of children and those who are troubled,
To reach beyond barriers of the past
Bringing people to communion.
This is a call to the never ending spirit
Of the common man, his essential decency and integrity,
His unending capacity to suffer and endure,
To face death and destruction and to rise again
And build from the ruins of life.
This is the greatest call of all”
The call to a faith in people.”

(Algernon D. Black)
On a Journey of Inquiry: Stages, Topic, Methods and Results

My PhD journey of learning and experiencing started in September 2012. At first, it was an unknown, windy, mostly enjoyable and sometimes bumpy road with a destination that only became clearer the further I traveled. In the beginning, I was open with regard to the inquiry topic and meandered around. Various conversations, diverse reading, and an ongoing passion for the broader theme and region that I travelled in (leadership and Africa) kept me going. Narrowing the topic and goal along the way as well as clear decision-making at certain stages finally helped me to arrive at my destination. I often looked at a quote that hung right above my desk to keep me going:

*When making decisions, you must leave behind the billowy clouds of vision and confront the practical limitations of space, time, energy, and matter. In other words, you have to make your visions work for you in the world in which you live. In this world, you can’t do all things at once: you can’t be all things to all people. You have to choose what you are about as an individual and establish the priorities of your life.*

*Recognize that when you decide to focus on a particular vision, you may have to let go of one or several others, at least for a time. You have to make a choice. The important thing is that you make the best choice possible for you at this time. If it is not your ultimate choice, don’t be concerned. You will have plenty of opportunities to refine and reconsider your course, once you have begun it. The important thing is to begin (and to continue). The worst choice is no choice. The best choice is choosing what you love the best. Choosing your priorities and values makes the strongest possible statement about who you are in this life.* (Boldt 1999, 242)

And when I doubted myself as to whether my work was “scientific enough” in the traditional sense, I let myself be encouraged by Ken Gergen’s note “How much research do we need” from November 2013. In the article, he states: “We should not abandon all research practices, but we should earnestly explore the potentials of replacing our concern with ‘what is the case,’ to ‘what
could we achieve together?” This reminder helped me to appreciate both ways of inquiry: sometimes the more data driven one, where empirical data and clarity in description is helpful; sometimes the more narrative one, where personal stories, reflection and generative inquiring/writing are needed.

This chapter will share in a narrative way the different phases of my inquiry journey.

### 3.1 Clarifying where to go: the preparation stage

During the preparation stage, the focus was in defining where and how I wanted to travel – to use the journey metaphor again. Ideas ranged from doing inquiry about the role modeling function of young, influential leaders running more sustainable businesses in Africa to conflict settlement approaches of senior leaders in fast-growing African countries such as Nigeria or Ghana. Through different encounters as well as due to practical considerations, it was mid 2013 that I settled on the topic and region that I wanted to travel in – meaning I decided on “CSR and Leadership in South Africa.”

I was aware that this topic was still broad and would require more refinement. I was curious to learn much more about the academic and applied research about CSR and CSR in South Africa, both of which were rather new to my professional portfolio. In brief, CSR means the responsibility of enterprises for their impacts on society and environment (Williamson et al. 2014, 7). Up to that point, I had only had practical experience as an executive myself and as an engaged employee with the consulting firm Mercer, helping to build their pro bono activities, but I had never approached the topic in a more structured way.

For the most current regional information, I resumed contact with former colleagues from my time working at Mercedes in East London, South Africa in 2000 and read details about the latest developments in the country. In addition, I approached friends and colleagues who still lived in Johannesburg or Cape Town to hear their perceptions about the economic, social and political situation in South Africa, asking them about their opinion regarding CSR in South Africa as well.

With the help of Dr. Nicolas von Rosty, at that time the Corporate Vice President for Executive Development for Siemens, I was able to get the name of a contact at Siemens in South Africa. The

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22 The quote can be found on the Taos Website in a note by Ken Gergen from November 2013: http://www.taosinstitute.net/Websites/taos/images/DegreeStudentResources/Gergen_Ken__Mirroring_to_World-Making_2014.pdf accessed again September 2015. It introduced at that time a working paper. The officially released and awarded article is now called „From Mirroring to World-Making: Research as Future Forming“ by Ken Gergen, Taos, 2014 and can be found on the Taos Website as well.

23 For details on CSR and CSR in South Africa, please see chapter 4 and 5.
contact person was the HR Board person for Siemens South Africa, Clifford Klaas – who was also responsible for CSR. We had several phone conversations in October 2013 prior to my flight and I remember being excited and cautious.

I was excited because I felt that my learning journey was about to begin and we got on well in our conversations. But I felt cautious too, because I realized that even though we both came from a corporate background, we were very different – in our cultural upbringing, our way of speaking, our ideas regarding my journey topic, etc. Thus, I became aware of the fact early on, how biased and unique all my experiences are and how important it would be to always remain curious and open minded and try to understand first before being understood.

My plan was to focus only on German corporations, because I assumed it would be easier for me to build connections. I also assumed it would be helpful to have one variable that I “knew,” as I was somewhat aware of all the ones I did not know. Thus, I also made contact with the German Chamber of Commerce before I travelled to South Africa. I learned that in 2012 they had established a CSR Competence Center and in 2009 had done a study with a German development agency to analyze the CSR activities of German firms in South Africa (Southern African-German Chamber of Commerce and Industry 2010).

I also began to read different literature regarding Social Construction (see chapter 2) and I wanted to find out what research methods fit best to Social Construction principles. Therefore, I also started to learn about various research methods. Creswell (1998), for example, gives a good overview of qualitative research. He differentiates the biographical approach versus the phenomenological study versus the grounded theory study, ethnography and the case study. In any case, the starting point consists of two questions: what do you want to find out? What research method would fit best your inquiry? Yet, at that point in time my inquiry question was still too unspecific to be able to settle on a method.

A further inquiry approach stated by Peter Reason also resonated with me a lot. He states the following: “...the simplest description of co-creative inquiry is a way of doing research in which all those involved contribute both to the creative thinking that goes into the enterprise – deciding on what is to be looked at, the methods of inquiry, and the making sense of what is found out – and also contribute to the action which is the subject of the research.” (Reason 1988, 1)

This approach was an appealing one to me since it emphasizes a concerted, collaborative effort – focusing again not on the “inquiry about” but “inquiry with” attitude. Equally, Nicholas Maxwell (1987, 47–48) describes the aim of inquiry “is to help promote human welfare and help people
realize what is of value to them in life.” This also resonated strongly with me and my inherent wish to contribute.

I kept browsing through the literature and also found an article by John Rowan (1981), that – as I noticed later – gave a good description of what my PhD journey ultimately looked like: In the beginning, I came from “resting in my own experience” (Phase 1 = Being), only reading some papers about the inquiry topic, making upfront connections, but soon realizing that yet another networking attempt, or reading another article would not help. I needed to become more concrete and plan the first field trip to South Africa (Phase 2 = Project). The actual trips to Johannesburg meeting people, exploring the environment, conducting interviews, etc. were exciting and stimulating and helped to get to the core inquiry on motivation for CSR (Phase 3 = Encounter). At some point, however I needed to consolidate the learning and share it with people in the field (Phase 4 = communication). In my case, this is sharing the inspiration booklet for CSR manager and executives who helped me in the very first place.

3.2 Making the first step – just go!

In October 2013, I booked a flight to Johannesburg for January and February 2014. I would stay with my friend Heidrun and her family who had lived in the country for over eight years. The main purpose of this first trip was to further define and narrow my inquiry topic. I knew I wanted to learn and write about CSR and Leadership in South Africa and how leaders drive and live CSR in their organizations, yet the topic was still fuzzy. An additional purpose was to re-familiarize myself with the country, to feel it, to make connections, to meet people and to potentially see changes compared to the year 2000 when I lived there.

I later noticed how much implicit knowledge I had gained by staying with my friends. Our breakfast conversations in the morning, picking up magazines and newspapers about the country lying around in the living room or the various dinner conversations with friends, locals and expats helped me to gain a better understanding of the different culture. Heidrun showing me and explaining everything that she had learned as a German in South Africa over the years helped a great deal when approaching the different interview partners. It also helped to manage my expectations and calibrate frustrating situations using what I learned from the experiences she talked about.

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24 The first trip was from Jan.-Feb. 2014, a second trip took place in May 2014
I was certainly aware that I had no idea about what I did not know about the country – even though I lived for a while in East London and had worked a lot in Sub-Saharan Africa and South Africa over the last three years as a consultant. I also knew that I would never be able to “learn” the South African mentality in a few months. Thus, no matter how much I prepared, it would not get me “ready.” And what does “ready” mean to begin with? When is someone ready to explore? Probably at any moment – if you keep an open mind and remain conscious of your biases and are willing to reflect.

In the following, I would like to share an event with you that deeply touched me and occurred in the first week of my stay in South Africa in January 2014.

3.2.1 A Defining moment: Oral history on Nelson Mandela

I chose to put this early experience upfront because it helped me to remember two things going forward with my PhD study (and with my life) – one is that change is possible, and the second is that faith in human kind is worthwhile.

Notes from my diary:

On January 17, early in the morning Heidrun took me to a breakfast meeting at Melrose Arch Shopping Centre. Every first Friday of the month, a non-profit organization organizes an inspirational speaker to discuss a topic of societal concern. On Friday January 17, the former security chief of Nelson Mandela, Rory Steyn, spoke about his time with Mr. Mandela. A small coffee shop was the location, which seated maybe 20 people. Mostly white people attended this talk. Only one black woman was sitting in the group as well. I remember that it made me feel a bit uncomfortable and maybe disappointed because I thought, “Hmm, no wonder Melrose Arch Shopping Center is more for white people to begin with and how sad that we do not have a better mix of the rainbow nation in the room.”

Rory was quite open in his input and conversational style. He shared that before apartheid had ended he also lived the apartheid ideology and truly believed that this was right. Admitting this in front of everyone in the room was touching because he brought it across with such brutal honesty, not wanting to cover up but showing that learning and change is possible.

After he had spoken about himself a bit and how he grew up during apartheid, he shared that in 1996 he took over the security services for Mr. Mandela. He shared in
particular one encounter that had impressed him utterly and would remain in his mind as long as he lives.

Mr. Mandela was known for his spontaneity, something that drove his security crazy, because they never really knew what to expect. This was the case on May 10, in 1994. It was the day Mandela was elected president in the morning in Pretoria and, in the afternoon, he flew with a helicopter to Johannesburg to greet the South African soccer team, who were playing against Zambia in honor of Mr. Mandela. It was important for Mandela to greet the teams, even though about 100 high-level international politicians and business people were expecting him for an evening event. Thus, time was tight.

Rory shared that they were about to get back in the helicopter and the car was ready to get him there. Mandela all of a sudden told the driver to stop. Nearby Mandela had seen an older, high-ranking white policeman – most likely a colonel - and without asking and despite the surprise and anger of the security who were watching the time, he got out of the car to greet this man.

This colonel, who most likely served the apartheid regime for most of his life, must have stared at Mandela realizing who was approaching him. When Mandela had reached the colonel, he said with his voice that creates trust within seconds: “Colonel, I would like to say, now that I am president of this country, there is no you and we anymore and that you are now OUR police. Thank you for all your support!” holding his hand up for a handshake.

Steyn said that the colonel was so moved that he could not hold back the tears. And for Steyn, it was one of the many moments he had shared with Mr. Mandela where moments of living forgiveness and healing took place. For him, he said it was also a moment where he felt that yes, he would give his life for him.

I remember the silence and the energy in the coffee shop at that moment. I remember the black woman standing up and saying, “I thank you for your honesty and for keeping Madiba’s spirit alive.” I remember my tears and being so moved and energized at the same time to never give up to live for connectedness and healing.

Why am I putting this story at the beginning of this chapter? In a sense, the story showed me a true coming to life of the African word “Ubuntu,” which is a Nguni Bantu term that roughly trans-
lates as "human kindness" or, in the larger sense, means "the belief in a universal bond of sharing that connects all humanity." And at this moment Ubuntu was alive in Steyn’s story and for me equally as strong, if not stronger in the comment of the black lady who stood up and spoke to Steyn.

I have embodied this moment and feeling and I clearly notice it writing it down just now. It is revitalizing for me when my energy is low and uplifting, when doubts threaten to consume me. Reconnecting with this moment and the feeling brings back the energy to ALWAYS keep going for what I believe in and to be open to other opinions at the same time. And to never give up to encourage forgiveness and healing and the hope that people can live in peace. I want to do this with the utmost possible compassion, strength and kindness.

On this Friday morning, I also noticed something that came back more than once while in South Africa. I felt so alive, not just because of the intense emotion but also because I somehow “felt history taking place,” meaning that history is alive and moving. Everything we do makes a difference because everything is still very fluid and formable. I remember this in my German upbringing only during the days when the Berlin wall fell. I remember this moment of instability and creative destruction. To me, the South African country is not as stable and consolidated, yet. It is still in the process of bringing the rainbow nation alive.

*Fig. 4: Hand print of Nelson Mandela as well as a painting of his view from his cell*

Source: Legacy magazines UK, edition December 2014, page 44/46

3.2.2 First visit to South Africa: Sharpen the topic and approach for conversations

After I had arrived in South Africa, my plan was to first meet with all the CSR managers of selected German companies in South Africa (Mercedes, Bayer, Siemens, VW, BMW) to better understand
their surroundings, activities and daily hurdles as well as to also co-define with them, what kind of inquiry subject would be most beneficial to them and their work.

In a second step, I hoped that they would connect me with selected leaders in their companies whom I could interview as well.

My approach for the conversation with the CSR managers was to use a semi-structured interview questionnaire. After one of the many helpful conversations with John Rijsman, I decided to base the questions on the principles of ‘appreciative inquiry’ (Fig. 5) and the steps of definition, discover, dream, design, deliver according to Cooperrider, Whitney and Stavros 2008:

*Fig. 5: Principles of Appreciative Inquiry*

![Principles of Appreciative Inquiry](source: Annette Thum based on (Cooperrider, Whitney and Stavros 2008))

I wanted the interview to be strengths-based and energizing. I wanted to focus on co-creating future images of CSR helping to overcome the hurdles that there may be. I wanted to learn what South African companies were doing well in the sphere of CSR, what was working for them, what energized them, what gave hope and what they saw as a promising future for CSR. Often CSR is associated with gloomy facts and stories (Collins and Ayantunji 2011; Speth 2008), which are likely to elicit a pessimistic mood. Therefore, I wanted to focus particularly on the positive core and energy that helps to move CSR forward. My questions for the CSR managers are listed below (Fig. 6) and were supposed to serve as a guideline for the conversation. However, before I reached out to
them, I wanted to connect with Cordelia Siegert\textsuperscript{25} who runs the CSR Competence Center of the German Chamber of Commerce and seek her advice.

\textit{Fig. 6: Interview Questions for CSR Managers}

<table>
<thead>
<tr>
<th>No</th>
<th>Question</th>
<th>AI</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>What do you associate with Corporate Social Responsibility (CSR) when you hear the term? What is your definition of CSR?</td>
<td>Define</td>
</tr>
<tr>
<td>2</td>
<td>When was the first time you encountered CSR? In what way?</td>
<td>Discover</td>
</tr>
<tr>
<td>3</td>
<td>What made you choose CSR as your profession?</td>
<td>Discover</td>
</tr>
<tr>
<td>4</td>
<td>To what extent would you say is your company’s CSR approach strategic?</td>
<td>Discover</td>
</tr>
<tr>
<td>5</td>
<td>What one or two CSR examples and cases are you proud of from your organizations?</td>
<td>Discover</td>
</tr>
<tr>
<td>6</td>
<td>What could you do/are you doing to promote CSR in the organization?</td>
<td>Dream</td>
</tr>
<tr>
<td>7</td>
<td>What are leadership characteristics/behaviors that support a CSR approach?</td>
<td>Dream</td>
</tr>
<tr>
<td>8</td>
<td>What do you think is possible when it comes to CSR in your organization, what could be an ideal future, what best practices would you want to see implemented?</td>
<td>Design</td>
</tr>
<tr>
<td>9</td>
<td>What could get in the way of realizing this vision?</td>
<td>Deliver</td>
</tr>
<tr>
<td>10</td>
<td>How could you overcome these hurdles?</td>
<td>Deliver</td>
</tr>
<tr>
<td>(11)</td>
<td>If you would have to rate your organization on its CSR performance overall, how would you rate it? (scale from 1-10, 10 being the best)</td>
<td>N.A.</td>
</tr>
</tbody>
</table>

\textit{Source: Annette Thum}

\textsuperscript{25} I met with Cordelia a few times during my first field trip in January/February 2014. We also stayed in contact prior to my return in May 2014. Her down-to-earth approach was always a great calibration.
3.2.3 Conversations with CSR managers and selected leaders

On January 15, 2014, my first conversation with Cordelia Siegert took place. I prepared for it with a brainstorm list of questions but mainly wanted to listen and learn from her experience. Some of my questions included the following:

• **What is your experience so far with the CSR Competence Center?**
• **What is your future hope for CSR – what developments do you foresee?**
• **What CSR do you/the German Chamber of Commerce have that you need research on? What could be worthwhile topics?**
• **Where would I find the best literature on CSR in South Africa as well as key data?**
• **What South African university is most prominent for CSR research? Or any other organization, e.g., NBI?**
• **How do you see BBBEE helping or hindering?**
• **How do you work together with the CSR representatives in German companies? How could you help me contact them? I would love to run a workshop with the CSR representatives – in what way could we cooperate?**
• **Do you know executives who are willing to participate in a study?**
• **Any other advice, any tacit knowledge that may be useful?**

Her answers were extremely frank. She also made my expectations more realistic as far as what to expect from the CSR Competence Center. First, she told me that she only started the job about six months ago and had not yet immersed herself in the CSR subject. She also explained to me that the Chamber is not putting too much focus on the CSR Center, because other things are more pressing, such as certain legislation changes that are influencing the business environment for German companies.

Since Cordelia is by education a lawyer, she was assigned to work on many other projects taking her focus away from the CSR subject. Nonetheless, she had built a good relationship with the CSR manager community by conducting quarterly meetings. We established a very nice relationship that continued to build over time and, thanks to her, I was able to contact selected CSR managers in an easy, informal way.

After the conversation with Cordelia, I decided to first send the CSR managers an informal email (Fig.7) rather than the interview questionnaire – after Cordelia had sent an introduction of me to them.
Dear xy,

Cordelia Siegert from the CSR Competence Center was so kind to give me your contact data - thank you Cordelia!

Allow me introduce myself briefly:
My name is Annette Thum and, in addition to my regular job, I am writing a PhD on Corporate Social Responsibility in South Africa (For your information I have attached a brief bio).
The PhD program is with the University of Tilburg in the Netherlands and the Taos Institute in New Mexico, US. It is a PhD designed for people who have a lot of work experience and it should serve a practical purpose in addition to meeting academic requirements. Currently, I am in South Africa for about four weeks to talk to CSR experts in the field and identify exactly what research topics could be of value to practitioners in that area.
This is also why I am reaching out to you.

I would be delighted to meet with you for lunch or at your office to talk about your CSR activities and interests.
In the event that you have time and interest, I am quite flexible with my schedule.

Thank you in advance and I look forward to hearing from you.

Kind regards,
Annette Thum

This was a good decision, because I noticed early on how important trust and connection is in this strained post-apartheid country. In retrospect, I think I would have “scared” or overburdened some conversation partners. It could have been perceived as “formal” and “interrogation-like”, as too challenging or too much to prepare for – knowing the questions upfront. In retrospect, I can say that if I had chosen the more formal way, fewer CSR managers would have been willing to meet up with me.

In all my interviews with the CSR managers, I noticed an initial skepticism and cautiousness. As I know from the Gestalt approach, it is all about contact and connection and not only in the begin-
ning! Or to use social construction language, it is not inquiry about someone but with someone. This is why I did not tape the conversations and also tried not to write much during the conversation but to truly stay focused on the person. In the end, I also asked my questions not in any order, yet in a way that fit the conversation and allowed more trust and relation-building rather than data collection. I also skipped some of my questions completely and always added one more by asking myself what inquiry topic they could most benefit from.

In the next five weeks, from January 13 through February 9, 2014, I had meetings with CSR managers from various German companies as Fig. 8 lists:

**Fig. 8: Interview list for CSR Managers working at German companies in South Africa**

<table>
<thead>
<tr>
<th>Name, Function, Company, Interview Date</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Beauty Jack, CSR Coordinator at Mercedes, January 27, 2014</strong></td>
</tr>
<tr>
<td><strong>Ester Lange, CSR Manager at BMW, January 28, 2014</strong></td>
</tr>
<tr>
<td><strong>Tasnien Patel, Communication and CSR Manager at Bayer, February 6, 2014</strong></td>
</tr>
<tr>
<td><strong>Emily Molefe, CSR Manager at Siemens, February 7, 2014</strong></td>
</tr>
<tr>
<td><strong>Nobuntu Lange, CSR Manager at Volkswagen, February 7, 2014</strong></td>
</tr>
</tbody>
</table>

*Source: Annette Thum*

In addition, I met eight other local experts and leaders in Johannesburg and Cape Town (Fig 9). I wanted people from different backgrounds and fields in order to obtain a diverse and broad overview – among them were university professors, foundation heads, consultants, legal and HR people and a few executives.
Fig. 9: Overview of local expert conversations conducted for my inquiry journey

<table>
<thead>
<tr>
<th>Person</th>
<th>Company</th>
<th>Day</th>
<th>Conversation Topic</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rolf Weber, Executive (German)</td>
<td>Munich Re, Johannesburg</td>
<td>January 20, 2014</td>
<td>What does CSR mean for a line leader?</td>
</tr>
<tr>
<td>Ralf Franke, General Manager (German)</td>
<td>Kühne &amp; Nagel, Johannesburg</td>
<td>January 21, 2014</td>
<td>What does CSR mean for a line leader?</td>
</tr>
<tr>
<td>Amrika Abrahams, Legal Counselor (South African)</td>
<td>Avanade, a Microsoft und Accenture spinoff, Johannesburg</td>
<td>January 24, 2014</td>
<td>BBBEE rules and its effect on CSR</td>
</tr>
<tr>
<td>Jochen Luckscheiter, International Politics Program Manager (German)</td>
<td>Heinrich Böll Foundation, Cape Town</td>
<td>January 30, 2014</td>
<td>CSR in South Africa – focus on CSR Investment</td>
</tr>
<tr>
<td>Prof. Arnold Smith (South African)</td>
<td>University of Stellenbosch</td>
<td>January 31, 2014</td>
<td>Research status regarding CSR in South Africa and Research support at the university library at Stellenbosch</td>
</tr>
<tr>
<td>Rentia Müll, CEO (South African)</td>
<td>Scientrix Consultancy, Johannesburg</td>
<td>February 4, 2014</td>
<td>The intersection between HR and CSR</td>
</tr>
<tr>
<td>Claudia Mummenthey, Managing Director (German)</td>
<td>MCM Skills Consulting, Johannesburg</td>
<td>February 7, 2014</td>
<td>Skills Development and CSR</td>
</tr>
<tr>
<td>Steve Bluen, Head of Business School (South African)</td>
<td>Head of Wits Business School, Johannesburg</td>
<td>February 7, 2014</td>
<td>CSR and Leadership</td>
</tr>
</tbody>
</table>

Source: Annette Thum

The purpose of this first round of meetings was the following:

a) To explore the current CSR landscape in South Africa with its specificities, needs and potentials for the future

b) To identify a beneficial inquiry topic that CSR managers could benefit from and co-create with

While I had approached the CSR manager interviews (particularly in the beginning) with a more structured interview approach, I conducted the interviews with the other conversation partner in an open and unstructured interview approach.26 My trip to Cape Town was helpful as well, not only because I had the chance to meet Prof. Arnold Smit there who is one of the major South African

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26 I had started also with a list of 18 interview questions, but let go of them, because the conversations just needed more „freedom”. 
academic contributors in the CSR field, but also because I noticed that little of the CSR material that I found at Stellenbosch is available online and wanted to check out the literature onsite. The local librarian was wonderful – being so supportive and helping me to find the little there was.27

I am very grateful for all the encounters I had (some of them are not listed, because they were not extended conversations), because each conversation and connection helped to enrich my understanding of CSR in South Africa, the conclusions of which are provided in chapter 5.

3.2.4 Result Summary from conversations with CSR managers

I felt all the CSR managers I met were deeply committed and genuinely wished to make a difference, despite their cautiousness. Sometimes I could hear a bit of frustration in between the lines, because they felt they could not create the impact they would like to make and are not in a position of authority to decide, yet have to rely on their influencing skills and the goodwill of senior executive decisions. Sometimes they said they wished they had a bit more training and professional exchange on CSR themes for themselves as well.28

I noticed that all the CSR managers I spoke with were female, all black or colored and all in between 30-45 years old. The CSR management position seemed to me to be one of those classical positions in a South African organization to be staffed with black females – maybe to serve the BBBEE ratio?

When speaking to the CSR managers, I also sensed a cautiousness and deliberate attempt to follow company procedure and jargon. Most of them avoided bringing in their own opinion. I can only guess where this cautiousness originates. Maybe it is triggered from the classical big corporate “follow rules and procedures” mentality; maybe it is a “left-over product” from the apartheid times, or maybe it was simply the fact that we did not have time to really build a trusting relationship. One lady was an obvious exception, with a more senior background and a long company history. She came across as direct and outspoken and was obviously extremely intrinsically motivated for CSR – thus also had a strong opinion and a lot of ideas and dreams about it.

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27 I found mainly Master Theses on the CSR topic and many of them rather basic and from the early 2000s.
28 Talking to the CSR manager and remembering my own working experience in East London, I often became aware how different our mental models are.
3.2.5 First results: Define, Discover, Dream, Design, Deliver

What did I learn from these one-hour face-to-face interviews with the CSR managers based on the appreciative inquiry approach? I will structure my learning following the steps of define, discover, dream, design and deliver and briefly summarize the findings.

Define:

Regarding the definition of CSR, it became obvious that the term CSR in all the conversations carried the notion of giving back to society, of contributing to the betterment of the local communities through various projects in health, education, economics, etc. All the interviewees clearly gave a more externally oriented definition of CSR, which accords with the findings from the literature about CSR and South Africa where CSR is seen as the “Art of Giving.” The internal CSR view – meaning what a company could do to optimize their own value chain – was hardly mentioned. In terms of the CSR maturity level (see chapter 4.1), the companies rank more on level one, which is the philanthropic focus.

I also noticed that the term CSR was not used consistently; some CSR players prefer CSI – because it is about the external investment of a company to “make people’s life better” as Ester Lange from BMW quotes ANC. She sees CSR as more inward focused, whereas others CSR manager did not differentiate between CSR and CSI at all.

Discover:

The next questions focused on “discovering,” meaning what gives life to CSR? It was very obvious in the conversations that all the interviewees felt proud and privileged to work in these jobs. Some who were not only leading CSR but also communications did not seem to have such a strong attachment to the CSR topic; maybe they simply needed to divide their business attention to various fields. Almost all the CSR managers mentioned education projects as the ones they felt most connected to. Nelson Mandela had always emphasized education as a focus. And even though South Africa ranks

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29 For a more detailed summary of the CSR managers interviews please see appendix.
30 For more details on CSR definitions, please read chapter 4.1 on CSR and chapter 5 specifically on CSR in Africa.
number three amongst the African countries with a literacy rate of 86%, there is still a lot to do in terms of higher levels of education. In the interviews, this need for a better education created obvious energy and enthusiasm among the CSR managers. One lady also said that she is most proud of the projects that she is most involved in and connected to – and as we will see later in this chapter – connectivity counts as the strongest motivational driver.

**Dream:**

When I posed the questions about what they could do or leaders could do to drive CSR, I mainly received the reply to the first focus saying that they could support them through awareness increase, personal connections and training. It was interesting to see later that all the leaders’ “desirable behaviors” that were mentioned by the CSR interviewees are also described in the academic literature as presented in chapter 6 on Leadership and CSR.

The following are the comments by CSR managers regarding desirable behavior of leaders to drive CSR in the organization:

- See it as a strategic business topic and not just an add on/nice to have
- Encourage dialogue about CSR among employees, e.g., in staff meetings (motivate them to pursue CSR according to their individual interests)
- Be involved (through volunteerism)
- Be caring
- Be good at change management
- Coach and guide
- Be fair and courageous
- Share company values
- Show continuous engagement for CSR

Making CSR a strategic business topic was mentioned most often; one woman even said that she wants her company to be known for two strategic core businesses: a) for producing world class cars and b) for producing world class CSR.

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31 South Africa ranks number three behind Zimbabwe (90%) and Equatorial Guinea (87%) – Overview published in 2013 – see website http://theafricaneconomist.com/ranking-of-african-countries-by-literacy-rate-zimbabwe-no-1/#.Vn6uBGAXTPQ accessed December 2015
Design/Deliver:

During the interviews, I noticed that the question on the ideal future and best practices (design) somehow blended with the “deliver” questions concerning hurdles for CSR and how to overcome them (vision for CSR). Thus, I combined them. The answers to the question on hurdles were the following:

- Selfishness of individuals
- Seeing profit as more important than CSR
- Disinterest in CSR, seeing it as ticking the box
- Not following the stated (CSR) vision
- Not having a dedicated CSR department
- Poor support from many different sides, e.g. top management
- Too few CSR resources (staff, money, etc.)
- Poor to no communication about CSR

And what can be done to overcome these hurdles? What is their vision? What actions can be taken to make CSR more successful? That was my follow up question, and their answers were:

- Foster stronger executive committee involvement
- Build a more strategic connection between CSR topics and business topics
- Focus on measuring CSR impact
- Have CSR material for training, something inspiring that lifts leaders up
- Focus on rural communities to keep kids out of the cities
- Have a dedicated CSR committee made up of line managers
- Carry out fewer projects but with more impact
- Offer more volunteering projects for leaders
- Build more connections from CSR Department to other functions, e.g. Human Resource Department
- Support and collaborate with local champions
- See and use BBBEE as a (legal) framework

Reading through this summary, I am not surprised to say that all these points can be found in the academic research on CSR as well (see Chapter 4 on CSR). These conversations strongly confirmed the general research findings on benefits, hurdles, best practices, and helpful leadership behavior for CSR. They also relate and overlap with research findings on CSR in South Africa (see chapter 5
on CSR in South Africa) in specific, e.g., that BBBEE (Broad-Based Black Economic Empowerment – a legal, yet non-binding framework) always plays at least an implicit role as a CSR driver. They also confirm that creating a CSR strategy and measuring impact has received more attention in the last five years, even though CSR in South Africa is still more about spending money and initiating projects that support local communities.

Reflections:

All the conversations with the CSR managers generated an overview, a deeper knowledge, a sense and feeling for the CSR surrounding and the landscape I was focusing on in doing my PhD. I also realized later that all books, papers and articles on CSR (in South Africa) became more meaningful and real for me because I had heard the academic findings “live” before, connected with emotions and first hand examples. Thus, for me these interviews were really helpful to immerse myself in the South African CSR landscape.

However, I do not think that these conversations changed much for my interview partners. We met only once or twice, which is not enough to actually make a difference (together). I remember making a closer connection with two women who were inspired to know more about CSR beyond their daily operative project management, but because of practical circumstances, I failed to stay in touch with them on a more regular basis.

Thus, I am looking forward to sending all of them the final “Inspiration booklet” as a thank you and invitation to add, change and contribute. It will seem like a long time for them – 2.5 years after our conversations took place. But this is how long my journey took. Eventually, I might fly to Johannesburg again to create a closing workshop with the CSR managers. Cordelia Siegert has already offered that the CSR Competence Center of the German Chamber of Commerce would dedicate one of their quarterly “CSR Manager Get Togethers” to review the results jointly and further optimize the booklet material. I am considering this trip in June 2016 – the results however, will not be part of this thesis.
### 3.2.6 Result Summary from selected leaders’ conversations

For the conversation with the other eight interview partners I kept – as already mentioned – an open interview structure, not taping or scribbling notes throughout the conversation, but simply being present and curious, noting what I learned right after we had spoken.

**Fig. 10: Learning Snippets from leaders’ interviews -
Comments enriching my understanding for CSR in South Africa (SA)**

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**HR and CSR should work together much closer together; they could win more BBBEE, together they could go for up skilling their own employees, together they would be much more efficient. Currently both of those functions are quite underdeveloped in South Africa. I say that as a South African who lived in the German corporate world for a while, thus knowing enough to compare.**

**The skill level here in South Africa is to say the least basic. Leadership training is also not yet well spread out, so if you thinking about CSR training for leaders you are so far out – I would say too far out.**

**Talent recruiting is important for CSR – we need to invest in young and talented people to keep them in the country – this is how we ensure growth.**

**One CSR activity could be to introduce the "Duale Bildungssystem", so that young people do have an alternative to university. Currently, either you study or you do not have a qualified degree. Why not offer an apprenticeship path?**

**Here in South Africa only the first squad of leaders after apartheid showed true leadership and had integrity, now it’s gone and you see the country loosing... (Note Dec 2015: Just recently President Zuma had released two Finance minister within two weeks without solid explanation, which caused massive turbulences in the (stock) markets. (There is the twitter account “Zuma must fall” – certainly biased but clearly proposing: South Africa has a leadership lack...)**

**South Africa is still ruled from tribes, not enough incentives for investors!**

**We still have high unemployment rate particularly among young people that is scary.**

**We had and have a well organized finance ministry – and the leading minister (Nhlanhla Musa Nene was at that time the finance minister) is the only one who is holding back against Zuma.**

**Money makes the work go round here – business comes first, if you like it or not. CSR is something that you do, when you are economically stable.**

**BBBEE is not helping but hindering – a few get really rich, but the poor do not get richer. The BBBEE quota brings uneducated people into leading positions being totally overstrained and taking bad management decisions. Fronting is a consequence – you hire black people but let white people do the work in the background.**

**BBBEEE forces companies to invest into training and skills development – that is great. We, e.g. need to invest 3 % of our revenue into skills development if we want to get our BBBEE points and be disadvantaged businesswise.**

**If you really want to change leadership behavior in favor of CSR then you need to introduce incentive that support CSR KPIs. This is when you show as a firm that you are serious about it.**

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**Source: Annette Thum**
The summary of the above is as follows:

- In South Africa, money makes the world go round!
- The economy in South Africa is not doing very well right now.
- The legal regulation BBBEE is helping and hindering growth.
- South Africa has currently a lack of leadership.
- HR and CSR departments need to work better together to solve talent issues, skills issues and education issues in general – they can earn more BBBEE if they do so.\(^\text{32}\)
- Line leaders often do not know what the acronym CSR stands for.
- CSR will only be more meaningful for leaders if it is connected to incentives.

Since the above-listed quotes are partly one-off comments from individuals, I did not want to evaluate or judge them or sort them into further categories such as economical dimension, or political dimension etc. The main benefit was that they all helped – as did the comments from the CSR managers – to add to my understanding of South Africa and CSR, which I describe in more detail and various dimensions in chapter 5.

Thus, one purpose of this field trip – to explore the current CSR landscape in South Africa with its specificities, needs and potentials for the future – I felt was successfully achieved. I had received a great overview of the CSR situation in the country and had been able to build connections.

The second purpose, however, to identify a beneficial inquiry topic that CSR managers and leaders could benefit from – and co-create with – had not been achieved at all. I assume the reasons for this were the following: Firstly, some interview partners simply shared that they had no idea; secondly some shared topics I clearly was not able to handle without living in the country for a minimum of one year (e.g., impact measuring of certain CSR projects); thirdly, some of the topics offered did not pique my interest, e.g., simply creating a benchmark list of successful CSR projects across South Africa. And I knew I needed to be excited and energized about a topic as well to finish the PhD thesis. So, I was aware that in my second field trip to South Africa I needed to be a lot more focused and approach my interview partners with a specific inquiry question that I still needed to find.

\(^{32}\) This phenomenon became obvious after many conversations. Thus, I put a suggestion together on how a collaboration project between HR and CSR could look like to maximize BBBEE points and serve CSR and HR at the same time. I presented it to different CSR managers who had an explicit interest in the idea. My hope was that this idea could become a good research project, yet it never took off. Therefore, I am not going to describe it in detail, but just add it as appendix 8 for your information.
Reflections:
Looking back, I think starting the inquiry with the CSR managers included pros and cons: the pros were that I got a picture from the ground and grass roots CSR work. I was able to hear what the daily operative struggles were and thus I had a different and more realistic perspective reading the academic literature on CSR in South Africa. The cons were that I felt I had maneuvered myself into a very formal corporate process, now having to get official permission from the CSR managers for potential further executive interviews.

I also underestimated the trust building time as well as some culture specific differences, such as the South Africa “out of sight out of mind” mentality; promises to people you are not closely connected with do not mean much. Thus, after I was gone, it was hard to get responses back and to seriously prepare for the second trip as I had planned to.

I also remember that I had to deal with my own frustration right after my return from the first trip, because I had not come as far as I wanted to come – meaning I was still unclear what a beneficial inquiry topic could be. Thus, I knew that I had to come back soon to not lose momentum and start planning the return in May 2014.

3.3 Going again - the second field trip
In between the first and the second field trip, I focused a lot on continuing the literature research, particularly in the field of CSR in South Africa. I also continued to work in my consultant job while I stayed in touch with Cordelia Siegert from the German Chamber of Commerce. We had agreed that for my second visit I would approach the CEOs of the major German firms in South Africa and the German Chamber of Commerce would use their network to connect me – keeping the CSR managers in the loop. Thus, I prepared an overview of my inquiry interest and the questionnaire and send it off to Cordelia by April 2014, so she could forward it to the CEOs.33

Before I took off in May 2014, I had tried to reach Cordelia a few times, yet we always missed each other. My emails also did not seem to reach her. Since I had booked my attendance at the most important South African CSR conference on June 3 and 4th 2014, I was going to go to Johannesburg anyways, no matter if we connected beforehand or not. I hoped that she had sent off the CEO information upfront but was not sure.

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33 See document in appendix 9.
We connected a week before I left and she promised to send the letters. We also arranged a first meeting on May 27 to update each other. During this meeting, I learned that I should meet Mr. Boddenberg, the Director of the German Chamber of Commerce, so that he could approve the letters that had to be sent off.

My meeting with Mr. Boddenberg only took place on June 2nd and I knew already that most likely I would see none of the CEOs personally – since I had to fly back June 6th. Phone calls – that would have to do it!

I used the second field trip to revisit two of the CSR managers from Siemens and BMW, just to stay in contact. In addition, I met with the foundation head of the Konrad Adenauer Stiftung (KAS), Holger Dix. The KAS is a political foundation closely associated with the Christian Democratic Union of Germany (CDU). Freedom, justice and solidarity are the basic principles underlying the work of the KAS. Next to the implementation and further development of South Africa’s multi-party democracy, KAS is trying to enhance the parliament’s control function, the support of federal structures, the fostering and monitoring of regional integration processes and the promotion of civil society.34 Thus, I was curious to hear from Holger about his impressions of CSR in South Africa and how the German companies were handling it from his point of view.

During our conversation, it became clear that CSR was not his main focus, yet he recommended two interesting contact partners, Marilise Smurthwaite, a Professor for Ethics and Business at the Department of Applied Ethics and Peace Studies at the Augustine College in Johannesburg and Gerhard Papenfuss, the Chief Executive of the National Employers’ Association of South Africa (NEASA). Marilise and I connected a bit later to enjoy a lively discussion on Business and Ethics and I learned that her conviction is that CSR should be conducted without any benefit for the company in mind.

I also met with Ulli Neuhoff, the head of the biggest German public TV stations, ARD (Arbeitsgemeinschaft der öffentlich-rechtlichen Rundfunkanstalten der Bundesrepublik Deutschland – Consortium of public broadcasters in Germany) in South Africa. I found our conversation interesting because I learned that ARD does not have any mandate to promote or report about CSR in any way. Ulli Neuhoff said the only thing that he does with his very few international and local people is to ensure that his leadership style is as fair, open, appreciative and tolerant as possible. Otherwise, all his organization is focusing on is the production of TV formats for Sub-Saharan Africa.

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Lastly, I connected with Christopher McCreanor who runs the training at the Customer Service and Development Center for Amazon in Cape Town. During my literature scan I had learned that he is in the process of writing his PhD at the University of Amsterdam about CSR practitioners and we exchanged our experiences over the phone on how challenging it is to get in touch with CSR experts and get them engaged to share their thinking. He, being a South African, had tried to do online research on “A curriculum framework towards the educational development of Corporate Social Responsible (CSR) practitioners in South Africa” encountering major response problems, which gave me a good sanity check about how difficult it is to engage people. He also stated that in his point of view South Africa is ten years behind the CSR strategy of US and Europe trying to catch up.

So here I was in the middle of my second field trip that was designed to carry out my second round of interviews with executives, but nothing happened. June 3 and 4, 2014 came and I attended the Trialogue conference (see http://trialogue.co.za), the most well-known meeting platform for CSR in South Africa. Being there boosted my energy and motivation before returning to Germany. A few highlights from the conference help to understand why the topic of CSR in South Africa is so relevant.

I was impressed with the size and the diverse audience of the conference. Next to NGOs and governmental players, many South African and international corporate players made up the approximately 500 representatives at the conference. To me it was a chance to network, even though we were all quite busy running from one meeting to the next. The five work streams on Engagement, Vision, Diversity, Economic Freedom and Responsibility offered many different topics.

One highlight for me was the workshop on “Shared value.” I was curious how Michael Porter’s concept was discussed in South Africa. The panel discussions showed me how new and foreign this concept still is – most likely not only in South Africa, yet particularly there, because philanthropic giving is still in the foreground. The session summary concluded that it is ok to continue with philanthropic approaches for circumstances that cannot be dealt with as a part of the company’s business. But that businesses should still be looking at ways to turn their expertise to the benefit of society, which then was understood as Corporate Shared Value (CSV). Not believing in “either/or,” I think this is valid approach. However, I do believe we are far away from a situation where companies really practice CSV. Thus, in my opinion a lot of focus needs to be put on a) re-defining value for businesses and then b) to act accordingly.
Another highlight for me was the keynote session on Day 2 entitled “Let’s Start a Movement” from Shaka Sisulu. He explained how he started his project Cheesekids, an NGO inspiring a movement for love as he puts it. Reflecting later on what happened in those 45 minute she spoke, I realized it was not so much what he said, because much was known to me from change management, but it was his enthusiasm, his energy, his humor and authenticity that made us connect with one another in the room, made us follow him, e.g., to get up and dance with him, etc. I was not surprised that his movement is so successful and it demonstrated so vividly again how connection can bring ideas to life and move things forward.

I took some photos to give an impression of the conference and included the agenda as well:

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Cheesekids for Humanity (“Cheesekids”) is a youth volunteer movement in South Africa founded in 2007. Sisulu started with 8 members and now has over 20,000 volunteering with him. Regular members (also referred to as Cheesekids) volunteer their time, labor, and creativity towards various needs identified in local townships, informal settlements and other depressed areas in need of support. Sisulu says it is about activating the inactive in terms of “time, resources, skills, mobilization, and advocacy.” In his experience, once you are involved the more you contribute. “For example, an accountant gives up a Saturday morning to paint houses. Eventually he/she decides they are not maximizing their contribution so they say let me do your books for you. Before long, they are encouraging their network of accountants to assist. This is termed mobilizing.” Sisulu says people make a contribution and it is through this that love is shown – therefore he calls it the movement for love.
Fig. 11: Photographies taken at the Trialogue Conference 2014

Source: Annette Thum
Overall, the conference did further enrich my understanding of CSR in South Africa and helped me to build further connections. It did, however, not bring me any closer to a specific inquiry topic. I felt I was diverging even more, instead of converging towards more specificity. At that time, I did not know that this was about to change soon.

3.4 The “Aha-Moment” – motivation and inspiration as key

Back in Germany, I was hoping to hear from the CEOs and other high-level executives whom the German Chamber of Commerce had approached for me. The response rate, however, was quite disappointing; thus, I was excited to hear back from VW CEO, David Powels, who was open for a phone call on June 20, 2014. Mr. Powels at that point in time had been CEO for VW South Africa for seven years, leading 6,000 people. He, a South African, had a finance background and a 20-year history with VW.

Our phone conversation took longer than expected and he shared his opinion on CSR quite openly; only at certain moments, I did notice he was being politically correct. Most of the time, I perceived him having an attentive presence and great honesty and, in addition to the content of the conversation, this interview marked a turning point for my inquiry. My “aha moment” happened at the end of our exchange, after I had asked him what effect these 1.5 hours may have on

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36 See invitation letter in appendix 9.
37 David Powels moved in January 2015 as CEO to VW Brazil. He was the only one who reacted to the email sent out.
38 For the transcript of this interview – please contact Annette Thum.
him. He paused to reflect and then said: “It did inspire me to take more time for the topic again and to try out some new ideas and behaviors that we have discussed.” He said this in such a genuine way that suddenly it clicked for me. I cannot quite describe my excitement, but I physically felt this aha-moment of now I know what to do. After that call, I was clear as to what I wanted my inquiry to focus on: I wanted to find out what motivates and inspires high-level leaders to drive CSR in their organization and beyond. And based on the answers, I then wanted to create a CSR inspiration booklet for leaders.

**Reflection:**

I realized along the way, that the fact that I was doing this inquiry and that I spoke with the various people could and in some cases did change already their motivation for CSR. It first of all created an awareness for the topic followed by an appetite to get more involved in CSR behavior and activities.

### 3.5 Phone Interviews on Motivation for CSR

The above-mentioned phone call was definitely a turning point in my inquiry journey. It provided an unexpected clarity for me as to what to focus on going forward. After going in different directions for the longest time, I felt ready to converge and focus. This decision did not change. What changed was the timing. Due to private circumstances, I had to take a two-semester sabbatical before I continued with my thesis. In between, I continued reading and writing on certain topics such as CSR and Leadership, CSR in South Africa etc., but the actual phone calls on motivation for CSR did not start before September 2015.

Initiated through the inspirational phone call with David Powels, I often wondered about the following: Most of the conversations with South African leaders about CSR showed me that they do see the need and necessity for CSR activities. Thus, I was asking myself, if everyone seems to agree to CSR as “common sense” why is it not “common practice”? 
I had two assumptions for it:

The first assumption is that the interviewed leader would consciously or subconsciously *tell* me one thing, e.g., “I believe that CSR is necessary.” On the other hand, they would actually *think* something different: e.g., “Ohhh, whatever, CSR just is not *my* priority, maybe it is a nice to have such a thing, but in the end, the numbers count.....”

The second assumption is that the ultimate motivation to drive CSR is simply not high enough, particularly since many CSR practices can be conflicting with other business goals or it simply cost personal energy that someone is not willing to invest. 39

Therefore, I was asking myself a) what are the main personal motivational drivers and b) how can I help to initiate them? I decided to approach eight high-level business leaders from German companies and ask them about their personal motivation for CSR. The list of leaders can be found in appendix 2. Having learned from the frustrating return quota when I attempted to address the executives through the more official channel of the German Chamber of Commerce, I decided this time to use my informal connections and it worked smoothly.

In the following, I will describe the set-up of the final round of phone calls. I will focus on the selection of the interview partner, on the inquiry questions for the calls as well as the approach and method. I will also touch upon ethical considerations and limitations of this inquiry.

**Interview Partner:**

- I chose eight interview partners from the corporate world. I focused on German-speaking companies based in South Africa to reduce cultural complexity.
- All interview partners were high-level executives from different industries (automotive manufacturer, energy, insurance, logistics).
- Four of them were white German/Swiss expats, three are South Africans (one black, one white, one Indian descent) – all possess university degrees, 50% coming from a technical background.
- All were in leadership positions – up to 1,300 employees.
- All were male, between their late 30s and early 50s.

The connection – as I stated earlier – was by referral and personal contact. The formal invitation experience from the first round obviously did not prove to be helpful. This time people responded

39 Motivational aspects in connection with CSR are also discussed later on in the background chapter 7.
very quickly and appeared to be more open and relaxed and honest with their answers. This was important, particularly since the inquiry question was quite personal.

Inquiry Question:
My formal inquiry question was this: What motivates high-level leaders in South Africa to drive CSR in their companies and beyond? I knew that it would be difficult to simply ask someone about his or her motivation for CSR; the risk of getting a “desired” answer was high (Lauring and Thomsen 2009; Chung and Monroe 2003; Zerbe and Paulhus 1987), so I needed to ask from different perspectives. Therefore, I raised a set of questions:

- My first question was still the direct one: “What motivates you to drive CSR in your daily leadership practice”? This was followed immediately by, “Or what do you think other leaders should or are motivated by to drive CSR in their daily leadership practice”? By making this a split question (reference to themselves and to others) my hope was that they would think broader and come up with more ideas and potentially also “critical” remarks.
- My second question was, “How do you/could you motivate your team & others for CSR? By having them explain how they motivate someone, this often tells a lot about their own motives.
- My third question was, “How could your company motivate you to pursue CSR?” This question puts them at the receiving end (e.g. decision, frameworks, structure from headquarters in Germany or their local CEO), meaning it also reveals what they preferences are to get inspired.
- And lastly, I always asked what they would like to see in an “Inspirational CSR booklet for leaders.”

Approach and Method:
For the structure of the interview, I chose an open one simply with the main focus on motivation for CSR posing these three questions at some point in time. The phone interviews lasted approximately one hour and all were recorded and transcribed. I chose the Grounded Theory Approach, which I will describe the reasons for in more detail in the following paragraphs. The short version is that Grounded Theory allows the data inform you and then uses what is called open coding, axial coding and selective coding to come up with a theory. “Memoing,” a form of capturing thoughts along inquiry moments, is used before, during and after the interviews to enrich the process.
Ethical Considerations:

Prior to starting the interviews I always informed the participants about the process, use and confidentially of the data and results (Kvale 1996, 110ff.). I made it clear that quotes, unless specific permission was given, would remain anonymous, as would the transcripts.

Limitations:

I am aware that my inquiry is not representative due to the qualitative approach. Eight people is a small sample and the sample has a gender bias as well — all participants were male. In addition, I had no chance to compare if what the leaders said is congruent to how they walk the talk. I cannot see them walking, so it is “immobile” as Kvale (1996, 292) would say.

In the beginning, I thought that the phone set up could potentially be a limitation for the results. In retrospect, I noticed that the somewhat distant setting through the phone set up opened the interview partner up even more — as if the distance created openness. The transcribed/protocolled and anonymized interviews can be found in appendix 5.

In the following, I first will explain Grounded Theory in more detail and then discuss the results by showing the open codings from all interviews as well as the “axial coding” and the selective coding,” which then leads to my theoretical summary.

3.5.1 The method – Grounded Theory

Grounded Theory is often called a method of discovery – of data and of theory – the latter eventually emerging through the relationship between data to be defined in categories (Charmaz 2011, 371). Grounded Theory can be based on qualitative and quantitative data and can be viewed and carried out more from a positivist perspective or from a constructive perspective.\(^\text{40}\) I will take – not surprisingly – the more the constructive route, which means the following: I will look at the different steps in coding and am curious what the data will bring forward. In the constructive Grounded Theory approach, it is valuable to reflect on what the data tells me in terms of what I am trying to generate. I chose the Grounded Theory approach because I was not verifying any hypothesis or testing any expected answers. I was curious about what would emerge and if those findings would potentially help me further with the creation of the inspiration booklet.

\(^{40}\) Charmaz (2011,129-132) has elaborated on the differences in more detail.
Overall Grounded Theory demands from “the researcher three important characteristics: an ability to conceptualize data, an ability to tolerate some confusion, and an ability to tolerate confusion’s attendant regression. These attributes are necessary because they enable the researcher to wait for the conceptual sense making to emerge from the data” (Glaser 1999, 838).

Barney G. Glaser – one of the founding fathers next to Anselm Strauss – says, “Grounded Theory tells us what is, not what should, could or ought to be” (Glaser 1999, 840) and therefore gives us freedom and empowers us to first look at what is going on, instead of coming up with a predefined hypothesis that may limit our thinking and possibilities. Glaser even states that to stay really open to the data, one should do the literature research only after the research is done. Taping and transcribing is also not necessarily needed. Often this is seen as counterproductive and a waste of time in Grounded Theory.

Often researchers combine the Grounded Theory method with other methods such as narrative or thematic analysis, yet the process steps taken by Grounded Theory are very unique and should not be confused with “simple” clustering.

Over the years, the methodological steps of Grounded Theory have been slightly developing/adapting. Ralph, Birks and Chapmann (2015, 2) have attempted to produce an overview (Fig. 13) on how it has changed over the years.

**Fig. 13: Essential Methods of Grounded Theory**

Source: (Ralph, Birks, and Chapman 2015)

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41 See also http://www.groundedtheoryonline.com/what-is-grounded-theory/classic-grounded-theory

42 Barney Glaser in The Literature Review in Grounded Theory on https://www.youtube.com/watch?v=7S1kJ0k3yHk accessed September 2015
The main steps of all these essential methods, however, are fairly similar as I attempt to describe in the following:

Step 1: Open Coding: Looking at data with an open mind
One starts with identifying the first big ideas in the interview (open coding). For this first coding phase it is helpful to look at the data “with an open mind – not an empty head” (Dey 2011, 176). It is important to stick close to the data in this phase and it is helpful to use the gerunds to detect processes and ask questions (Charmaz 2011, 49). Through constant comparison and rereading of the interview answers, categories appear.43

Step 2: Axial Coding: Finding relationships in the open codes
The next step, called axial coding, consists of identifying relationships among the open codes. Strauss and Corbin (2008) do this in a very formal and strict process. Over the years, however this step has been adapted and sometimes neglected as well. The important thing to notice is that this step helps to clarify what the connections are among the open codes.

Step 3: Selective Coding: Finding the core
Then lastly, the third step, selective coding44 discerns the core that includes all of the data and provides the basis for the theory. During selective coding, previously identified categories and phenomena can be further defined, developed, and refined and then brought together to tell a larger story. The results of selective coding can range broadly from an explanation of the phenomena to the creation of broad theoretical abstractions. In my case, I was not attempting to create a new theory, yet my main goal was to identify what the main motives for CSR “behavior” are and how I can potentially use the result to build a more solid inspiration booklet for CSR leaders.

Reflections:
My natural inclination from the beginning was to start an interview just with one main question and an open mind. I wanted to stay away from a formal Q&A setting and attempted the conversation to be casual and personal, as Charmaz (2006, 25) quotes Lofland and Lofland: “An interview is a directed conversation ...()...of a particular topic with a person who has the relevant experience.”

Following this approach, I noticed two things about myself:

43 “To come up with the categories, one feels at some point a certain saturation. Sometimes the categories (e.g. watching) are also connected with properties (the frequency, perspective, the intensity of watching...)” (Charmaz 2006, 47)

Firstly, in conversations I love to step into the unknown and let things emerge. This serves my curiosity and my long-standing HR experience, interviewing executives etc. My coaching education as well as my Gestalt education background helps me to be elegant with this approach and to always come back to the inquiry focus in case we deviate from the topics. After the first interviews, I also felt that the unstructured way provided the most useful and rich data, because I could follow my instincts and the energy of the conversation, which made the conversation contact- and resourceful (Corbin and Strauss 2008).

Nonetheless, I felt again I was not being “scientific” enough, not structured enough and I thereby did notice how strong my classical research background still kicks in. I also felt that some of the interview partners were irritated by the open approach. Most of them were engineers, working in a more technical environment; they are certainly used to a more structured and numbers oriented approach. However, talking about the reason for my choice upfront helped to eradicate the confusion and irritation.

During the whole analysis work and during the interviews themselves the process of memo writing was a helpful one. Memo writing means before I am actually summarizing my findings I do write little bits and pieces together of what I notice, feel, think, observe. Later on, these memos – I have often called them my “intermediate learning snippets” – have been enriching, with the last step the sorting and creating a summary.
3.5.2 Results of the open coding process

The following provides the open coding results for the different questions:

**Question 1: Motives for CSR in the leaders’ leadership practice**

What motivates you to drive CSR in your daily leadership practice? Or what do you think other leaders should or are motivated by to drive CSR in their daily leadership practice?

*Fig. 14: Question 1 Open Coding*

<table>
<thead>
<tr>
<th>Open code</th>
<th>Words by interview partner</th>
</tr>
</thead>
<tbody>
<tr>
<td>Having fun</td>
<td>Spass&lt;br&gt;Doing something physical, real</td>
</tr>
<tr>
<td>Doing Business</td>
<td>Geschäftliche Motive&lt;br&gt;financial incentives&lt;br&gt;Better for company in the end&lt;br&gt;CSR in meinen Zielen stehen zu haben</td>
</tr>
<tr>
<td>Following rules, regulations</td>
<td>Notwendigkeit durch Regulierungen&lt;br&gt;Legal Framework BBEE&lt;br&gt;BBBEE, was er sehr kritisch sieht&lt;br&gt;BBBEE, reducing risk</td>
</tr>
<tr>
<td>Building relation</td>
<td>Vertrauen schaffen wollen&lt;br&gt;Sich nicht als Insel begreifen, sondern kollaborieren&lt;br&gt;Creates camaraderie (TN), a common purpose/feel</td>
</tr>
<tr>
<td>Being and looking for Role models</td>
<td>Other inspiring role models, e.g. Schrempp&lt;br&gt;Vorbilder kennen</td>
</tr>
<tr>
<td>Never giving up hope</td>
<td>Dreams, hopes&lt;br&gt;I want to create an opportunity for someone elses’ dream (Kids)&lt;br&gt;Making the impossible possible – see Madiba</td>
</tr>
<tr>
<td>Loving</td>
<td>Love &amp; appreciation for the country, identification with the country&lt;br&gt;Ein Menschenfreund sein (MG), junge Menschen in Arbeit verhelfen</td>
</tr>
<tr>
<td>Being religious</td>
<td>Christlicher Glaube</td>
</tr>
<tr>
<td>Being part of an elite, feeling honored</td>
<td>Teilhabe an exklusiven Kreisen, die CSR treiben (Ehre)</td>
</tr>
<tr>
<td>Serving a deeper purpose</td>
<td>Tieferer Sinn&lt;br&gt;Leadership has to have a bigger picture, we need to create the world as a better place&lt;br&gt;In Not helfen – Bangladesh example&lt;br&gt;Wenn keine extrinsische Motivation, dann entweder tieferes Interesse für das Thema oder den Menschen&lt;br&gt;Contribution to the environment/society</td>
</tr>
<tr>
<td>Feeling empathy</td>
<td>Eigene Empfindlichkeit, zu weichherzig</td>
</tr>
</tbody>
</table>
### Open code | Words by interview partner
--- | ---
Following values | Ist wertebabhängig  
Believe that CSR the right thing  
My value system – it is about giving back

Being Fair | Schwarzes Unternehmertum schaffen – als Gerechtigkeit für vorher „disadvantaged“ people  
We need to make the gap smaller between poor and rich for our own sustainability  
Jeder hat das Recht auf ein besseres Leben  
Helping an underdeveloped supplier

Being curious and experimental | Neugier, Experimentierfreude  
Dabei spannende Menschen treffen und interessante Gespräche führen

Being fearless | Ich hab nichts zu verlieren, ich kann Veränderungen ohne Sorge vorantreiben

Healthy self-interest (Me meets we) | Ich mach viel CSR mit Sport, wofür ich mich interessiere

Feeling an inner duty | Notwendigkeit durch innere Pflicht

Feeling pride | Showing CSR results to others – to my family

Following family traditions | My father was engaged, I am engaged and loyal

Seeing progress | Hilfe zur Selbsthilfe  
Ein Fortkommen  
Ein Aufbauen, Wachstum zu sehen  
Jemanden wachsen sehen  
Focus for impact, don’t do too many project  
Talentaufbau  
Ich kann kein Heftpflasterkleben mehr sehen, ich brauche eine longterm vision

Being thankful | Schon aus Dankbarkeit heraus, dass es Dir selbst besser geht

*Source: Annette Thum*
**Question 2: How do you/could you motivate your team & others for CSR?**

**Fig. 15: Question 2 Open Coding**

<table>
<thead>
<tr>
<th>Open code</th>
<th>Words by interview partner</th>
</tr>
</thead>
<tbody>
<tr>
<td>Informing people</td>
<td>Take people from an ignorant to an informed position (facts example on AIDS rates etc.)</td>
</tr>
<tr>
<td>Allowing time</td>
<td>Giving time for CSR – allowing time for CSR</td>
</tr>
<tr>
<td>Empowering people /giving experiences</td>
<td>Believing in my/their own power and to be willing to be responsible for other people</td>
</tr>
<tr>
<td></td>
<td>Teilhaben lassen, z.B. als Mentor für CSR Themen fungieren</td>
</tr>
<tr>
<td></td>
<td>Don’t preach them, but share CSR examples in Management meetings</td>
</tr>
<tr>
<td>CSR is not possible</td>
<td>Middle Manager sind unter Wasser – das hat keine Prio</td>
</tr>
<tr>
<td></td>
<td>Ich bin überrascht, wieviele das komplett ohne Schuldbevusstsein machen (Öl in die Kanäle</td>
</tr>
<tr>
<td></td>
<td>laufen lassen)</td>
</tr>
<tr>
<td>Punishing, drawing consequences</td>
<td>Verstösse nicht dulden</td>
</tr>
<tr>
<td>Being an inspiration, connecting fun with CSR</td>
<td>Act inspirational, help people to overcome fears</td>
</tr>
<tr>
<td></td>
<td>Show the excitement and fun of CSR</td>
</tr>
<tr>
<td></td>
<td>Meine Begeisterung zeigen</td>
</tr>
<tr>
<td>Offering practical Support</td>
<td>Helping them to start</td>
</tr>
<tr>
<td></td>
<td>Help them to stay calm to think better</td>
</tr>
<tr>
<td></td>
<td>Präsentation zu Ländern/Themen, Geschenke aus den Ländern</td>
</tr>
<tr>
<td></td>
<td>Prioritize CSR, put it in calendar, have dedicated team slots for it</td>
</tr>
<tr>
<td>Showing the impact</td>
<td>Have them reflect their decision on their impact for CSR</td>
</tr>
<tr>
<td>Sharing the value and vision</td>
<td>Show them the value &amp; vision of CSR</td>
</tr>
<tr>
<td>Being a role model</td>
<td>Selbst einfach vorne stehen und es leben</td>
</tr>
<tr>
<td></td>
<td>Lead by example</td>
</tr>
<tr>
<td></td>
<td>Vorleben, günstige Hotels, nicht den Motz Molly machen, kleine Dinge sind wichtig</td>
</tr>
<tr>
<td></td>
<td>Being a custodian</td>
</tr>
<tr>
<td>Showing the relevance for them</td>
<td>Contextualize CSR to their environment and situation</td>
</tr>
</tbody>
</table>

*Source: Annette Thum*
**Question 3: How could your company motivate you for CSR?**

*Fig. 16: Question 3 Open Coding*

<table>
<thead>
<tr>
<th>Open code</th>
<th>Words by interview partner</th>
</tr>
</thead>
<tbody>
<tr>
<td>Giving freedom</td>
<td>Freiräume lassen</td>
</tr>
<tr>
<td>Being a role model</td>
<td>Making EXCOM people to CSR sponsors</td>
</tr>
<tr>
<td>Using CSR for teambuilding</td>
<td>Create camaraderie</td>
</tr>
<tr>
<td>Explaining the bigger picture</td>
<td>Connect CSR to bigger topics, e.g. to nation building, SA icon</td>
</tr>
<tr>
<td>Making CSR a priority</td>
<td>Put the topic on top of the agenda</td>
</tr>
<tr>
<td></td>
<td>CSR need to be in the goals and it needs to be incentivized</td>
</tr>
<tr>
<td></td>
<td>CSR zum Teil der Arbeit machen</td>
</tr>
<tr>
<td></td>
<td>Wenn die Firma CSR zum Teil meiner Arbeit macht, wenn es in meinen Zielen steht</td>
</tr>
<tr>
<td></td>
<td>The firm needs to make it a principle – that is the jump card next to all the BBbee</td>
</tr>
<tr>
<td>Making CSR tangible</td>
<td>Volunteer, sustainability day – makes CSR real and tangible</td>
</tr>
<tr>
<td></td>
<td>Creating a connection between me and the reality volunteer programs</td>
</tr>
<tr>
<td>Creating a CSR Strategy</td>
<td>Create a true strategic plan for CSR</td>
</tr>
<tr>
<td>Involving younger stakeholders</td>
<td>Reach out for younger generation</td>
</tr>
<tr>
<td>Giving CSR resources</td>
<td>Give more resources to CSR in the war for resources...</td>
</tr>
<tr>
<td></td>
<td>To continue to show me that money is not an issue, that we stay generous</td>
</tr>
</tbody>
</table>

*Source: Annette Thum*

The open coding was an enjoyable process for me. It was fun and easy to read through the documents again and listen to the tapes. The tone of voice often brought back a lot of memories connected with a call and thus helped with the sorting that sometimes can depend on nuances. I was surprised that I got into such an easy flow to find categories/open codes sorting the answers of the executives.
3.5.3 From axial to selective coding – what emerged?

Looking at the open codes and looking for connections among them, one gets to axial coding (interrelatedness of the open codes) – and from there one gets to selective coding, meaning some high-level cluster laying the basis for the “theory.” I word this carefully, because I could not be more aware of the marginal relevance of the findings due to the limited number of people. Nonetheless, looking at the interviews in retrospect, I am still surprised, how obvious the clusters of motivational drivers showed up in the axial coding – see in table below – and that the selective code “motivation means being connected to CSR” became so apparent.

Fig. 17: Open Coding/ Axial Coding/ Selective Coding across all questions

<table>
<thead>
<tr>
<th>Open codes= Categories</th>
<th>Axial Code= phenomena</th>
<th>Selective code= (Making sense out of the phenomena)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Having fun</td>
<td>Motivation for CSR –</td>
<td></td>
</tr>
<tr>
<td>Being an inspiration,</td>
<td>Giving energy for the</td>
<td></td>
</tr>
<tr>
<td>connecting fun with</td>
<td>individual</td>
<td></td>
</tr>
<tr>
<td>CSR</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Being curious and</td>
<td>Motivation for CSR –</td>
<td></td>
</tr>
<tr>
<td>experimental</td>
<td>Giving energy for the</td>
<td></td>
</tr>
<tr>
<td>Being fearless</td>
<td>individual</td>
<td></td>
</tr>
<tr>
<td>Showing the relevance</td>
<td>Motivation for CSR –</td>
<td></td>
</tr>
<tr>
<td>for them</td>
<td>Giving energy for the</td>
<td></td>
</tr>
<tr>
<td>Making CSR tangible</td>
<td>individual</td>
<td></td>
</tr>
<tr>
<td>for them</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Doing business</td>
<td>Motivation for CSR –</td>
<td></td>
</tr>
<tr>
<td>Following rules and</td>
<td>Giving energy for the</td>
<td></td>
</tr>
<tr>
<td>regulation</td>
<td>individual</td>
<td></td>
</tr>
<tr>
<td>Being part of an elite,</td>
<td></td>
<td></td>
</tr>
<tr>
<td>feeling honored</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Informing people</td>
<td>Motivation for CSR –</td>
<td></td>
</tr>
<tr>
<td>Punishing, drawing</td>
<td>Giving energy for the</td>
<td></td>
</tr>
<tr>
<td>consequences</td>
<td>individual</td>
<td></td>
</tr>
<tr>
<td>Building relations</td>
<td>Motivation for CSR –</td>
<td></td>
</tr>
<tr>
<td>Involving young</td>
<td>Giving energy for the</td>
<td></td>
</tr>
<tr>
<td>stakeholders</td>
<td>individual</td>
<td></td>
</tr>
<tr>
<td>Using CSR for team</td>
<td>Motivation for CSR –</td>
<td></td>
</tr>
<tr>
<td>building</td>
<td>Giving energy for the</td>
<td></td>
</tr>
<tr>
<td>Being and looking for</td>
<td>individual</td>
<td></td>
</tr>
<tr>
<td>role models</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Empowering people and</td>
<td>Motivation for CSR –</td>
<td></td>
</tr>
<tr>
<td>giving experiences</td>
<td>Giving energy for the</td>
<td></td>
</tr>
<tr>
<td></td>
<td>individual</td>
<td></td>
</tr>
<tr>
<td>Never giving up hope</td>
<td>Motivation for CSR –</td>
<td></td>
</tr>
<tr>
<td>Loving</td>
<td>Giving energy for the</td>
<td></td>
</tr>
<tr>
<td>Feeling empathy</td>
<td>individual</td>
<td></td>
</tr>
<tr>
<td>Being religious</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Serving a deeper</td>
<td>Motivation for CSR –</td>
<td></td>
</tr>
<tr>
<td>purpose</td>
<td>Giving energy for the</td>
<td></td>
</tr>
<tr>
<td></td>
<td>individual</td>
<td></td>
</tr>
<tr>
<td>Feeling an inner duty</td>
<td>Motivation for CSR –</td>
<td></td>
</tr>
<tr>
<td>Being fair</td>
<td>Giving energy for the</td>
<td></td>
</tr>
<tr>
<td>Following inner values</td>
<td>individual</td>
<td></td>
</tr>
<tr>
<td>Following family</td>
<td>Motivation for CSR –</td>
<td></td>
</tr>
<tr>
<td>tradition</td>
<td>Giving energy for the</td>
<td></td>
</tr>
<tr>
<td></td>
<td>individual</td>
<td></td>
</tr>
<tr>
<td>“Motivation means being</td>
<td></td>
<td></td>
</tr>
<tr>
<td>connected to CSR”.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
In the following, I will analyze the meaning that the codes produced and explore what the results could tell me going forward.

3.5.4 Sense making of coding results

First, I will look into the phenomena from the open coding, see what they are and make connections to motivational theories that exist. Then I will focus on the selective code and what it can help generate.

---

45 I left this category and phenomena “seeing progress” by itself, because a lot of raw data examples were given by five different people – so it does seem to be a strong motivator.
Axial coding phenomena and their connection to motivational theories

Moving from the raw data through the open coding categories to axial coding phenomena, I can say the below listed phenomena are the main motivational drivers that showed in my inquiry:

Fig. 18: Motivational drivers of selected executives in SA

<table>
<thead>
<tr>
<th>Motivation from:</th>
<th>Motivational drivers of selected executives in SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Extrinsic sources</td>
<td>Driven by external rules and numbers</td>
</tr>
<tr>
<td></td>
<td>Giving energy for the individual</td>
</tr>
<tr>
<td></td>
<td>Following an inner discipline</td>
</tr>
<tr>
<td></td>
<td>Feeling connected to others</td>
</tr>
<tr>
<td>Intrinsic sources</td>
<td>Being connected to a higher sense</td>
</tr>
<tr>
<td></td>
<td>Seeing and being involved in progress</td>
</tr>
<tr>
<td></td>
<td>Showing and knowing the importance of CSR</td>
</tr>
<tr>
<td></td>
<td>Getting down to earth, making it happen, just to do, free to move</td>
</tr>
<tr>
<td>Not applicable</td>
<td><strong>CSR is not/hardly possible</strong></td>
</tr>
</tbody>
</table>

Source: Annette Thum

I color-coded them differently, because it was obvious that they can be differentiated into

a) Motivation needs to be/is extrinsic (orange)

b) Motivation needs to be/is intrinsic (green)

c) Motivation is not possible, because CSR is not/hardly possible in a business environment (blue)

All interview partners mentioned that it would be helpful if the company would offer extrinsic motivation or at least have CSR goals in the leaders’ goal portfolio and get measured by it.

To me it was interesting to see that the intrinsic motivational drivers were more often mentioned and in greater differentiation than the extrinsic ones. It could mean different things, e.g., the intrinsic categories were observed more often (within oneself or with others) or were seen as more powerful or were wished for more often as an ideal situation. I, however, would be careful to evaluate this without verifying it together with the interviewees.

---

46 For motivational theories and CSR please read chapter 7.
I did leave the category “CSR is not/hardly possible” as a category by itself, because it often was indirectly mentioned. One person stated it even explicitly – he mentioned that he has lost his belief in a better world. Five more people alluded to the category indirectly by saying how difficult it is to live CSR in the business world (“in the end the numbers dominate”) or they shared that “without rules, regulation – internal and external ones – things will not change fundamentally.” In these interviews, I did not ask the question what they see as hurdles or what holds them back to become e.g. a stronger “rule creator” within the company. Because in the end - they are the high-level leaders of their firms, they could set the standards!\(^47\)

Additionally, one could try to refer the identified motivational driver to the different motivational content theories. The different content theories are shown below in Fig. 19 as a reminder. Fig. 20 then tries to show a possible match.

**Fig. 19: Different motivational content theories and their main clusters**

![Motivational Content Theories Diagram](image)

*Source: Annette Thum (Colors are randomly chosen to differentiate the authors)*

---

\(^{47}\) I had only this question “Why are you not setting the standards” in the first and second field trip, but not in the phone interviews and the answers that I received revealed more external reasons (not in goal agreements, not in strategy, no time given, numbers come first...). Only a few referred to their responsibility and mentioned “I just don’t make it enough of a priority, I am not disciplined enough to take the time, I would love to do more but other things come in between... - so the intrinsic motivation is simply not strong enough to balance out the missing external “pressure” or structures.
On a Journey of Inquiry: Stages, Topic, Methods and Results

<table>
<thead>
<tr>
<th>Motivational drivers of selected executives</th>
<th>Content motivation models</th>
</tr>
</thead>
<tbody>
<tr>
<td>Driven by external rules and numbers</td>
<td>McClelland (Achievement, Power)</td>
</tr>
<tr>
<td></td>
<td>Herzberg (Hygiene)</td>
</tr>
<tr>
<td></td>
<td>Maslow (Safety)</td>
</tr>
<tr>
<td></td>
<td>Alderfer (Existence)</td>
</tr>
<tr>
<td>Giving energy for the individual</td>
<td>McClelland (Affiliation)</td>
</tr>
<tr>
<td></td>
<td>Herzberg (Motivation)</td>
</tr>
<tr>
<td></td>
<td>Maslow (Self-actualization and Esteem)</td>
</tr>
<tr>
<td></td>
<td>Alderfer (Growth)</td>
</tr>
<tr>
<td>Following an inner discipline</td>
<td>McClelland (Achievement)</td>
</tr>
<tr>
<td></td>
<td>Herzberg (Motivation)</td>
</tr>
<tr>
<td></td>
<td>Maslow (Self-actualization and Esteem)</td>
</tr>
<tr>
<td></td>
<td>Alderfer (Growth)</td>
</tr>
<tr>
<td>Feeling connected to others</td>
<td>McClelland (Affiliation)</td>
</tr>
<tr>
<td></td>
<td>Herzberg (Motivation)</td>
</tr>
<tr>
<td></td>
<td>Maslow (Social)</td>
</tr>
<tr>
<td></td>
<td>Alderfer (Relatedness)</td>
</tr>
<tr>
<td>Being connected to a higher sense</td>
<td>McClelland (Affiliation)</td>
</tr>
<tr>
<td></td>
<td>Herzberg (Motivation)</td>
</tr>
<tr>
<td></td>
<td>Maslow (Self-actualization and Relatedness)</td>
</tr>
<tr>
<td></td>
<td>Alderfer (Growth)</td>
</tr>
<tr>
<td>Seeing and being involved in progress</td>
<td>McClelland (Achievement)</td>
</tr>
<tr>
<td></td>
<td>Herzberg (Motivation)</td>
</tr>
<tr>
<td></td>
<td>Maslow (Self-Actualization and Esteem)</td>
</tr>
<tr>
<td></td>
<td>Alderfer (Growth and Existence)</td>
</tr>
<tr>
<td>Showing and knowing the importance of CSR</td>
<td>McClelland (Power)</td>
</tr>
<tr>
<td></td>
<td>Herzberg (Motivation)</td>
</tr>
<tr>
<td></td>
<td>Maslow (Social and Esteem)</td>
</tr>
<tr>
<td></td>
<td>Alderfer (Relatedness and Growth)</td>
</tr>
<tr>
<td>Getting down to earth, making it happen, just to do, free to move</td>
<td>McClelland (Achievement, Power)</td>
</tr>
<tr>
<td></td>
<td>Herzberg (Motivation)</td>
</tr>
<tr>
<td></td>
<td>Maslow (Self-Actualization and Esteem)</td>
</tr>
<tr>
<td></td>
<td>Alderfer (Growth and Existence)</td>
</tr>
<tr>
<td>CSR is not/hardly possible</td>
<td>Not applicable</td>
</tr>
</tbody>
</table>

Fig. 20: Motivational drivers of selected executives in SA matched to the content motivation models

All of the found motivational drivers are somehow leading back to the well-researched motivation content theories, often even with similar language. Herzberg’s differentiation, however, of hygiene factors versus motivational factors was never explicitly mentioned. None of the interviewees explicitly stated CSR as a hygiene factor. When existing, it motivates them but when absent makes them not feel too discontent or frustrated enough to potentially change companies.

Reading through the interviews repeatedly, elements of the dynamic/process-oriented motivational theories were only subtly and indirectly mentioned. I did notice, for example, that the more extrinsically motivated leaders for CSR also had as their intrinsic motives seeing and being involved in progress or some kind of a proof that situations will get better in the long run through a
CSR focus. So here the consequences needed to be rewarding enough. Otherwise, they would get frustrated more easily.

One leader for example shared a frustration: a local bakery was built together with company resources and the time and effort of the village people. Yet, when the company involved in the building left the scene, the interior of the bakery was gone/stolen after 6 months, the wooden shelves had been used as firewood and no one was using the bakery anymore. One can speculate why that happened and what the underlying reasons were for this to take place. My point, however, is that the leader of the company supporting the village, showed major frustration and disappointment. For the process motivation cycle that means in his assessing phase or evaluating phase he loses traction and may not even start (assessing phase) or act CSR conform again (evaluating phase) – please see chapter 7.4.1.

The selective code and its meaning for me going forward
What does this all mean for the selective code? Meaning what is my core finding to my “motivation for CSR” questions? I concluded that my overall selective code is this: “Motivation comes from being connected to CSR.” That connection can obviously be stimulated through different ways - through external numbers and pressure, KPIs, other people, a higher purpose, a bigger vision, specific pragmatic actions, an inner discipline etc. In any case, the motivation comes through connection and involvement. Listening to the tapes again, this also became apparent in the tone of voice, meaning the moment the leaders gave an answer that seemed meaningful to them, that they seem connected to, their voices got more excited and adamant.

If this is my “observational truth,” what can be my “committed truth,” as John Rijsman puts it? The observational truth shows the “as is,” a status quo, a snapshot in time. Yet, it does not offer ideas about what can be done with the observational findings. The committed truth should ask “what can be generated due to the findings, how do I/we create connection for leaders to CSR going forward, what possibilities can be opened up and how do I personally continue to create connection to CSR for myself?”

The following ideas come to mind:

- To continue to engage other leadership development colleagues for CSR: I remember talking to a colleague of mine who five years ago was trying to set up a sustainable consulting practice. I asked him for his ideas regarding the inspiration booklet. After an hour on the phone, it was great to hear and sense how excited he became again with the CSR topic, after he had let go of it two years – due to frustration about little pro-
progress and success. When we closed our phone call, he said to me: “I want to get back into this CSR topic, I guess with a different mindset, yes, but still with the hope and drive that I seem to have lost.” We are still in contact and I am curious what we will develop together in the next years.

- To come up with joint CSR program ideas to integrate into leadership development programs. I want to inspire other leadership development colleagues to think about different CSR formats and CSR Intellectual Property.
- To get inspired by CSR magazines, such as “Enorm” and look for success stories that I can spread.
- To encourage internal company debate between CSR promoters and opponents, e.g. with the help of a set of specific questions (Kvale 1996, 178–179)
- To finish the inspiration booklet and offer it as free e-book online, incorporate in to the book: humor, fun, numbers & facts, reflective questions, success stories for executive to connect with CSR etc.
- To look for significant multipliers, such as Duke executive education in London or CCL in Brussels to offer the leadership material for their use in executive education program
- To reach out to Trialogue in South Africa and the magazine “Enorm” in Germany to offer the CSR booklet to them and have them make even more country specific
- To connect to Fred Kiel’s research on “Return on Character” and to Ralf Thurm consultancy “Thrivability” to stay close to the numbers side of CSR activities as well
- To create Buddy networks on CSR within an organization; e.g. I noticed when I spoke to the three Mercedes executives within one week interviewing them on their motivation for CSR, they had started to speak amongst each other about the CSR topic, reflecting and exchanging thoughts and ideas. With the interviews, I seemed to have started a small internal dynamic - ideally a snowball rolling through the companies’ hallways.
- To create space in business for pride and emotions. Emotions such as Laurent Fabius\(^48\) has shown during the announcement of the signed climate treaty in December 2015 in Paris are rare. Emotional moments, moments when people show they are touched and moved are still rare in business and yet this is what often connected us with one another others and it shows and strengthens one’s own connection to the topic as well.
- To allow time for executives to move from a neutral/distant position for CSR to an involved one. To remember to never give up on that topic, even when hopes are low – keep connecting and remember how long some things take – Mandela never gave up

hope. For me as a consultant or for an internal CSR manager that means: be patient, believe in one step at a time and keep going.

3.6 The coding results and their meaning for the inspiration booklet

Having been inspired through the conversation with David Powels to create a “CSR Inspiration booklet for leaders” I will now start reflecting on how the inquiry results may shape and influence the content of the booklet. For this I will use the coding results as well as the explicit statements that the interview partners shared with me when I asked them in the interview what they would like to see in that kind of booklet. The below list (Fig. 21) shows the phenomena from the coding process and my conclusion and ideas for the booklet.

*Fig. 21: Phenomena from the interviews leading to ideas for the booklet*

<table>
<thead>
<tr>
<th>Phenomena from the interviews</th>
<th>Conclusion for the booklet</th>
</tr>
</thead>
<tbody>
<tr>
<td>Having fun</td>
<td>include humor, stories, jokes etc.</td>
</tr>
<tr>
<td>Doing business</td>
<td>show the business side of CSR, include hard fact numbers and how CSR serves the company in the long run (benefits)</td>
</tr>
<tr>
<td>Building relation</td>
<td>share an example where the camaraderie created through CSR shines through, show good ideas on how to involve people</td>
</tr>
<tr>
<td>Being/looking for role models</td>
<td>list at least two or three role models for CSR (male/female)</td>
</tr>
<tr>
<td>Never give up hope/serving a deeper purpose</td>
<td>include uplifting poems or quotes</td>
</tr>
<tr>
<td>Loving</td>
<td>include touching, engaging stories, e.g. Madiba story</td>
</tr>
<tr>
<td>Following values, being fair</td>
<td>include a brief debate on ethics and values</td>
</tr>
<tr>
<td>Being curious &amp; experimental</td>
<td>include fun CSR games and/or riddles</td>
</tr>
<tr>
<td>Seeing progress/impact</td>
<td>sharing success stories</td>
</tr>
<tr>
<td>Informing people</td>
<td>give hard fact information on CSR</td>
</tr>
<tr>
<td>Offering practical support</td>
<td>give practical tips on how to include CSR behaviors into the daily business</td>
</tr>
<tr>
<td>Sharing value and vision</td>
<td>share what is possible in CSR – show big vision</td>
</tr>
<tr>
<td>Making CSR a priority</td>
<td>give them important questions to reflect upon</td>
</tr>
<tr>
<td>Creating a CSR strategy</td>
<td>create a check list on how to do this</td>
</tr>
</tbody>
</table>

*Source: Annette Thum*
The above idea list can serve as a basis for the book as does the direct feedback of the leaders. In the following, I have listed their answers to my explicit question: “What would you like to read in a booklet on CSR and leadership?”

- Explain that CSR is more than charity
- Offer various CSR-themes that leaders can focus on
- Show what CSR means in the South African Culture
- Demonstrate the importance & benefits of CSR
- Give successful examples and role models for CSR
- Explain how to involve people into CSR topics
- List CSR Tips -“the realistic and pragmatic ones that I can integrate into my daily business”
- List CSR contact partner

My idea of the booklet right now is that it will have to strike a balance between being easy and fun ready, presented in digestible and quick to read segments providing enough information and practical examples. I sometimes also thought about creating a CSR Calendar with 356 pages/days or 52 week activities. I am curious myself what it will look like in the end.

In the appendix of this thesis, you will find a first draft of the current material. The moment I had found “the idea” of an inspiring and motivational material/booklet on CSR, I knew and felt that this is my motivational driver. Throughout this year I will fine-tune and add new ideas with the help of selected CSR expert and leadership colleagues to then share it back to them.

*Fig. 22: Sample pages from the booklet*
Two friends at a billionaire's party - one says: This guy has everything.
His friend replies: I have what he'll never have: enough.

Anonymous

4 On the concept of Corporate Social Responsibility

In this chapter I will provide a brief overview on the scope and challenges of defining CSR. I will explain the historic development of CSR, as it helps to understand the evolution of the concept, coming up with a working definition for this thesis. In addition, I will look at the critique on the CSR concept(s) and then summarize future outlooks and trends.

4.1 Scope of Definitions

Reading through the vast amount of literature on CSR, it became obvious that numerous definitions and related terms on CSR have been created over the last decades.\textsuperscript{49} The intensive debates between academics, international organizations, consultants and corporate executives brought forward numerous variations and notions of the term. The simple conclusion is this: there is no definite definition of CSR. Rather, CSR means different things to different people depending on the context. I will elaborate on this point later, but before that I will discuss the – from my viewpoint – most important or main definitions.

Main definitions of CSR:
To get a first idea and overview on how CSR can be defined, I begin with Archie B. Carroll’s regularly cited and well-known CSR pyramid (Carroll 1991). Because of my focus on company leaders, I will then discuss the more business-oriented definitions from the UN, the EU and from Eklington, a businessman himself (2002). At this point, I purposely do not focus on exclusively political-economics (Crifo and Forge 2012), ethical (Goodpaster 2012; Eabrasu 2012), legal (Pitts 2009; Whitehouse 2005) or philanthrophical (Butler and McChesney 2010) CSR definitions to reduce complexity, but will refer to them on the challenges of defining CSR later in this chapter.
**Archie B. Carroll’s Pyramid**

The most referred to definition of CSR is **Archie B. Carroll’s (1991, 42) CSR pyramid**. Carroll was the first one to rank various aspects within the CSR concept into a pyramid. The original pyramid from 1991 was based on a normative approach and has economic responsibilities at the bottom (“Be profitable”), followed by legal responsibilities (“Obey the law”), with ethical responsibilities above that (“Be ethical”) and at the tip of the pyramid showing philanthropic responsibilities (“Be a good corporate citizen”).

In Carroll (2016), the author updated his original pyramid version, retaining the four responsibilities but stressing a more holistic approach. He now sees the four responsibilities more as an equation, adding up to a “Total Responsibility” without focusing on the sequence. Ethics permeates the whole pyramid and points to tensions and trade-offs between the four clusters.⁵⁰ One could debate why Carroll retained the pyramid to illustrate these changes instead of using, e.g., a pie chart or focusing more clearly on his newly introduced element of permeating ethics and tradeoffs. In any case, Carroll has included in his original (as well as in his latest definition) the different dimension made the definition for the longest time the most comprehensive one.

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**Fig. 23: CSR Pyramid by Carroll (2016)**

![CSR Pyramid by Carroll (2016)](image)

Source: Carroll 2016

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⁵⁰ Interesting research on Carroll’s pyramid was conducted by Denise Baden (2016). She took Carroll’s normative pyramid with its internal ranking of responsibilities and challenged it from an empirical and descriptive way, asking 400 participants (173 business people) on how they would assess the four responsibility areas today. Her results conclude a different order: ethical as the base, followed by legal, followed by economic and then philanthropic.
Given that my thesis inquiry is concerned with company leaders, I will also choose CSR definitions from the United Nations and the European Union as well as the triple bottom line definition by Elkington (2002), which offer more business-oriented definitions of CSR:

- The United Nations defines CSR in the **UN Global Compact** from 2000 as their mission “to create a sustainable and inclusive global economy that delivers lasting benefits to people, communities and markets.” Reading their description, I would say that it is much more than a definition; rather, it is a global call. The Global Compact "asks companies to embrace, support and enact, within their sphere of influence, a set of core values in the areas of human rights, labor standards, the environment and anti-corruption." With over 12,000 corporate participants and other stakeholders from over 145 countries, it is the largest voluntary corporate responsibility initiative in the world.

- The **European Commission** defines CSR as "the responsibility of enterprises for their impacts on society" (Williamson et al. 2014, 7). The Commission encourages that “enterprises should have in place a process to integrate social, environmental, ethical human rights and consumer concerns into their business operations and core strategy in close collaboration with their stakeholders."

- When defining CSR, the more business-oriented **triple bottom line definition** (abbreviated as TBL or 3 BL) is well established. It is an accounting framework coined by John T. Elkington (2002) and refers to corporate activities in three areas, namely social, environment and financial, or – put in a more catchy manner – people, planet, profit.

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51 See https://www.unglobalcompact.org/what-is-gc/mission accessed again in January 2015. When in the year 2000 the United National Global Compact was launched, the UN Secretary General Kofi Anan called to business leaders to work with the UN to “initiate a global compact of shared values and principles which will give a human face to the global market.” 44 companies had signed in 2000 by 2013 there were over 7000 participants. In 2011 the UN initiated the so called Global Compact LEAD which was an electronic platform/process to provide collaborative space to generate and implement advanced corporate sustainability and to review for 2 years (from 2011 – 2013) how companies had implemented the Global Compact and if the platform would be of help to do so. 55 firms participated, online surveys and interviews were carried out with the result that the platform exists until today connecting firms worldwide to better implement their sustainability and CSR practices. (see: Review of United Global Compact LEAD Pilot Phase – January 2011-December 2014, Executive Summary http://www.abis-global.org/content/documents/2014/un-global-compact-lead-pilot-phase-review-final.pdf, accessed in January 2014)

The challenge with a general CSR definition

As mentioned above, the complexity of perspectives in defining CSR is also often referred to in academic discussions. Already in 1973, Votaw and Sethi (1973, 22) described the term social responsibility as “… a brilliant one – it is something, but not always the same thing, to everybody.”

Over time, numerous authors such as Carroll (1999), Göbbels (2002), Marrewijk (2003) and Sheehy (2015) have attempted to give an overview on the growing definition jungle of CSR, always coming to the conclusion that there are far too many different angles and approaches to settle on one finite definition.

Hamidu, Haron, Amran (2015) as well as Dahlsrud (2008) attempted to cluster the various definitions into categories. Dahlsrud, for example, identified 37 definitions from 27 academic authors mainly from the US and Europe, covering the timeframe from 1989-2003. He clustered the definitions into five dimensions: the stakeholder, the social, the economic, the voluntariness/(ethical), and the environmental dimension.

Matten and Moon (2004) offer three reasons for why CSR is not easy to define. First, they see CSR as a complex and open concept that follows no simple, applicable rules. Moreover, CSR overlaps with many other similar concepts and terms (from “Corporate Government” to “Sustainability,” see Fig. 24:). Thirdly, CSR is always a dynamic process and depends upon the national context.

After the above analyses of the various definitions, I would like to suggest that the definition of CSR can be better determined with the support of Cicero’s rhetoric concept of questions on a topic, the "who, when, where, why and what" (Copeland 1995, 66ff.). These questions help to better understand and put into perspective the context of differing CSR definitions:

- **Who is defining it?** Is it a researcher in the field of economy, a green technology activist, a CSR manager from a company, etc.? Does the defining person come from the school of natural sciences, economy, philosophy, etc.? Depending on the personal background of the author, one will most likely receive a differently biased definition. Sheehy (2015) refers to the various angles, complexities and complications with their respective academic origins and assesses for the above “Who” aspect alone five different foci.53

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53 Sheehy (2015) mentions the following five foci: - Economics with the aspects of firm theory, of agency theory and market failure, - Management or Business with the aspects of moral obligation/ethics, sustainability, license to operate and reputation, - Legal focusing mainly on CSR beyond compliance, - Political science with the analysis of corporate citizenship, private power and critique of CSR, - Institutionalism with the focus on regulations, reporting and higher holistic political contexts.
• When was the definition given? In the 19th century, the term CSR did not even exist, while in the 20th century it underwent several fundamental changes depending on the decade (see later on in 4.2 Historical Development)

• Where are we looking at? The US definition of CSR may be slightly different than a European or African one, although it seems that an explicit (South) African definition currently does not exist – see chapter 5.

• Why and for what purpose is the definition of CSR made? Is it to engage people, to academically define it, to make it economically measurable? Is it created to set standards (normative) or is it descriptive? The definition will vary depending on the purpose.

• What dimension is the CSR definition used for? Is it used to focus on social elements or to describe environmental topics? Is it about stakeholder work or ethics training? The range of topics subsumed under the term CSR is huge as i.e. the CSRwire.com page shows.

Looking at CSR through a Social Construction Lense

Visser54 once stated that CSR is a rather outdated term and it should be called Collaborative Sustainable Responsibility, which nicely links back to Social Construction and to Ken Gergen’s remark on “productive collaboration” for “relational well-being” (Gergen 2009b, 402-403).

Looking at the CSR definition jungle through social construction eyes, I only found one definition, which is from Basu and Palazzo (2008, 130), and describes CSR as “the process by which managers within an organization think about and discuss relationships to stakeholders as well as their roles in relation to the common good, along with their behavioral disposition with respect to the fulfillment and achievement of these.” With this definition, a strong focus is put on co-creation, joint sense making and process rather than on a specific CSR content.

Applying the social construction concept of “multi-being” (Gergen 2009, 134-150), CSR can be perceived or described as follows: Throughout our lives, some of us human beings have had different relationships with the topic of CSR. Thus, the individual has and is a bundle of “CSR relationships.” The older we become the more we might have related to CSR. For example, as a kid we learned to keep nature clean or CSR meant that a school was built for us. In our teenage years, we may have protested for more humane working conditions, and/or as a parent we taught about it or lived up to it as role models for our children. So we are adding different truths within our-

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selves and when we meet other people with other experiences to CSR, we jointly create new truths around the CSR topic.

In short, it means many different truths have been created and are constantly created around the topic of CSR. I find this a positive evolution, because it means that there is movement around this topic; it shows that many people are busy researching, co-creating and ultimately bringing CSR forward, which is good news regardless of how exactly CSR is defined.

Going forward with this PhD thesis, however, I will choose the rather simple definition from the EU (Williamson et al. 2014, 7), which states that “CSR is the responsibility of enterprises for their impacts on society and environment” and add “economics” to it because I am convinced that the triple bottom line approach is very powerful. I selected the EU definition for my inquiry (with the slight adaptation), because its brevity brings out the essence of the CSR concept and at the same time – given its broadness – allows it to function as an umbrella for other definitions.

4.2 Historical Development of the CSR concept

Besides the main definitions discussed before, a variety of definitions and ideas exist around the concept of CSR. This chapter will offer an overview of the history to show how this variety has developed over recent decades. The overview is based upon the research of various authors (Carroll 2008; Frederick 2006; Schmidpeter and Palz 2008; Goodpaster 1983) and can’t be by any means comprehensive, yet shows the historical development of the CSR concept in a condensed way.

Prior to 1950

In the early 20th century, two important precursors to CSR emerged, one of which was created by the industrial revolution, because businesses wanted “better” – namely more productive – workers. Thus, companies started to offer their workers benefits such as bathhouses, lunchrooms and profit sharing. This approach was more internally focused (Wren 2005, 269–270). The second stream that emerged could be called “individual” philanthropy, because in the early 20th century it was often individuals like Vanderbilt, Rockefeller or Pullman rather than actual corporations who invested money into society. Pullman was even building a role model city around his facility to showcase a town with a modern infrastructure, green parks, great housing, etc., not only to give something back to society but also to attract and retain good workers (Carroll 2008). Overall, one could say that prior to the 1950s, there was mainly philanthropy happening, with individuals and companies donating money for a chosen cause. While this approach continues to be vital today, it is increasingly accompanied by strategic CSR approaches.
The 1950s
The formal birth of social responsibilities of corporations took place in the 1950s. In his 1953 book “Social Responsibility of the Businessman”, Howard Bowen (2013, 6) offers an early definition of companies’ social responsibility (SR): “SR refers to the obligation of businessmen to pursue those policies, to make those decision, to follow those lines of action which are desirable in terms of the objectives and value of our society” (ibid.). Bowen is often mentioned as the “father of CSR” and started in the 1950s the decade of CSR awareness creation, which means the 1950s represent rather the “talking about CSR era” than the “taking CSR actions era”.

The 1960s
In the 1960s, more scholars became interested in the phenomenon of CSR, including contributors such as Keith Davis (1960), William Frederick (1988 [1968]) and Clarence Walton (1967). They added an important element to the discussions around CSR, namely that resources should not only serve companies or private persons, but also broad social ends. These new contributors also drew attention to the closely intertwined relationship between society and corporations. The concept of voluntarism - the phenomenon whereby people offer their personal time, energy and resources for a certain cause at no cost - was also introduced (Walton, 1967). For example, the Peace Corps in the US were founded in 1961, yet it was not incorporated into companies’ CSR approaches. Thus, philanthropy - which largely meant companies spending money to charities - ultimately remained the predominant approach.

The 1970s
The 1970s brought the call for a managerial approach to CSR, whereby a stronger link of social issues to business processes was demanded. Managers were asked to apply traditional management methods to CSR, such as planning and forecasting, providing the right internal structure, measuring performance and monitoring. Sandra Holmes (1976) ran a broad interview-based study to ascertain what high-level executives considered as important CSR topics at the time. According to Carroll (2008, 29) the Committee for Economic Development (CED) made a ground-breaking contribution to the emerging concept of CSR by listing three concentric circles of social responsibility for a company: the inner circle of clear cut profit responsibility, the intermediate circle of complying with the profit demand – albeit with a sensitivity for CSR, and finally the outer circle, which entails a new responsibility of actively improving society. Preston and Post (1975, 102) even suggested replacing the word social with public “to stress more the importance of the public policy process rather than individual opinion and conscience”.

The 1980s
In the 1980s, the social responsibility of corporations was further discussed, with a focus on the role of investors and shareholders. The debate centered around the idea that corporations are responsible to their shareholders, who invest their capital in the company with the expectation of a return on investment. Critics argued that this focus on shareholder value detracted from the corporation’s responsibility to society as a whole. The debates were marked by the growing awareness of the need for companies to consider the impact of their decisions on various stakeholders, including employees, customers, suppliers, and the environment. The concept of sustainable development and the role of corporations in promoting it became more prominent in the discussion.

The 1990s
The 1990s saw the emergence of the term “corporate citizenship”. This term was used to describe the proactive involvement of companies in addressing social and environmental issues. The focus shifted from simply meeting regulatory requirements to actively contributing to the well-being of communities and the environment. This period also marked the growth of the non-profit sector, which became a key partner in the delivery of social services. The relationship between corporations and non-profits became more collaborative, with companies often funding and partnering with non-profits to achieve shared goals.

The 2000s
The 2000s witnessed a significant increase in the level of corporate social responsibility. The financial crisis of 2008 highlighted the importance of corporate governance and the role of companies in stabilizing the economy. This led to increased regulation and scrutiny of corporate practices across the globe. The period also saw the growth of social media and the rise of online activism, which amplified the voices of those advocating for corporate social responsibility. Companies responded by investing in sustainability, diversity, and inclusion, and by supporting social causes. The concept of “triple bottom line” accounting, which measures a company’s performance in terms of economic, environmental, and social factors, became widely accepted.

The 2010s
The 2010s brought new challenges and opportunities for corporate social responsibility. The rise of the sharing economy and the use of technology in business practices required companies to re-examine their role in society. The debate around the value of intangible assets, such as reputation and brand, increased the importance of social responsibility in corporate strategy. The growth of blockchain technology and cryptocurrencies presented new opportunities for transparency and accountability in corporate practices. The period was marked by a growing awareness of the need for companies to contribute to the social and environmental challenges of the 21st century, while also considering the impact of their actions on their stakeholders.
The academic world introduced new ideas and concepts to the discussion around CSR, and - as stated in the previous chapter - a true definition jungle emerged. For example, Carroll (1979) proposed that companies should embed social responsibility in their strategy and performance models. He demanded each firm to have a clear definition of CSR and measurement tools. However, there was not much sizable action among the companies themselves, although governments started to place legislative pressure upon companies with respect to CSR issues.

Overall, the 1970s was clearly a decade in which academia started to demand that businesses integrated CSR into their entire company structure and strategy.

**The 1980s**

In the 1980s, businesses slowly began to respond to the call to integrate CSR into their internal processes and developed analytical frameworks to operationalize and facilitate CSR. Profit was no longer the only benchmark and managers started to be evaluated not only on business results, but also according to how they achieved those very results (Jones 1980).

These developments were also spurred by the fact that the 1980s is often referred to as the decade of greed. For example, the 1984 Union Carbide Bhopal explosion in India - killing thousands of people - showed that companies did not invest enough in safety measures. Furthermore, the controversies over doing business with the Apartheid regime in South Africa create a divide between more or less responsible countries and companies.

In response to these developments, it is unsurprising that stakeholder theory started to perceive communities as relevant stakeholders and theories of business ethics emerged.

**The 1990s**

In the 1990s, big players like the Body Shop, Nike, UBS and Patagonia started to truly embrace the CSR topic, adding CSR departments and managers to their organizational charts, introducing key performance indicators to measure CSR outcomes. It was increasingly understood that CSR can be beneficial to a company’s reputation. While previous decades saw basic academic research on the ideologies, facets and streams of CSR, the 1990s were dominated by empirical research on companies’ new business practices in the field of CSR (Carroll 2008).

**Moving into the 2000s**

Moving into the 2000s, empirical research continued to be in the focus and CSR also became strongly tied to other business topics. For example, employer attractiveness (Greening and Turban 2000) is connected to CSR, as are marketing aspects (Maignan and Ferrell 2004) and diversity is-
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sues (Hansen 2014), just to mention a few. CSR best practices and measures are collected and published and the financial benefits of such practices are continuously emphasized. With the rise and fall of the Internet economy and the banking crisis in 2008, legal and ethical compliance has become an essential and even mandatory topic in most companies. CSR umbrella organizations as well as consultancies have been founded and universities have started to adopt the CSR topic into their curriculum. At present, CSR is a true global phenomenon. With the establishment of the UN Global Compact in 2000, it has become a topic on the global agenda for governments, industries and NGOs around the world.

Summary

Looking at the historical development, it seems that the responsibility – or at least the awareness for the responsibility – of enterprises concerning their impacts on society and environment is growing. Of course, legislation is partly forcing them, yet companies seem to increasingly accept it not as a burden but rather as a necessity and even a benefit. It also became obvious that many different stakeholder groups from business, politics, legal or society had and have an interest in the CSR subject which adds to the continuing lively debate around the subject and explains also the many related terms to CSR.

Many of these related terms were already existing or evolving in parallel or were derived from CSR. The terms range from “business ethics” to “sustainability”, from “corporate social performance” to “corporate volunteering” to “corporate social investment”, etc. Various authors attempted to differentiate the terms (Carroll 1999; Crane, Andrew et al. 2008; Schneider and Schmidpeter 2012; Benn and Bolton 2011; van Marrewijk 2003). I decided to not dive deeper into the detailed differentiation and definition of it, for it did not seem to add value for the purposes of my thesis. Yet, Fig. 24 is an approach – certainly not complete - to show the spread of CSR related words and concepts.

55 - Carroll (1999) provides an insightful overview article.
– Crane et.al. (2008) offer in their 600 pages strong book a solid overview offering well academically researched perspectives, critiques, action items and in the last chapter an outlook on CSR.
– Benn and Bolton (2011) assemble various major CSR concepts, yet without any guiding clustering/ structure or coherent connection between the alphabetically listed key concepts from “Agent Theory” to “Voluntary Regulation”. The book seems to be like a dictionary supporting CSR managers to better understand various CSR concepts.
– Van Marrewijk (2003), this article compares all relevant definitions to conclude that a one size fits all definition does not work.
– “CSR Impact – From CSR to CIAM: Corporate Impact Assessment and Management” a publication under the IMPACT project funded by the European Community’s Seventh Framework Program FP7/2007-2013 under grant agreement n° 24461. This document from 2012 is a practical workbook for people from the field helping to measure CSR and its performance. It is run by the Impact research and it is interesting to mention that the Tilburg University also has been a consortium partner in this three-year effort analyzing many different case studies, interview numerous stakeholders to produce as an outcome input on strategic CSR topics and a practical guidance on CSR impact measurement. Online available: http://www.oeko.de/oekodoc/2100/2014-658-en.pdf, accessed June 2014.
4.3 Critique of CSR

Of course, with the rise of CSR, there have been and always are critical voices about the topic. The ongoing scientific discourse is mostly based on several points of critique, which I will discuss now in more detail. Typically, the scope of the critique ranges from economic, to ethical to political aspects, which are understandably often interconnected.

Economic critique of CSR

The longest standing critique states, that CSR cannot be of concern to companies, because a company is only responsible to its shareholders by securing profit maximization. Thus, companies do not need to serve any other stakeholders or interests. In 1958, Theodore Levitt (1958) elaborated on the “Dangers of Social Responsibility” encouraging business people to stay focused on business and not to buy in to the new orthodoxy of creating an “almost spiritually blissful state of a cooperative and responsible enterprise” (ibid, 42).

In 1962 Milton Friedman (1962), the famous US economist and Nobel Prize winner, also opposed the idea that business people are responsible for societal or environmental issues. The point that leaders would have a social responsibility beyond serving their stakeholders “shows a fundamental misconception of character and nature of a free economy” (Friedmann, 1962, 133). Friedman (1970) even saw business people who would act “as civil servants” as a threat and betrayal to a company, because their only interests should be the company.
I acknowledge this critique because one cannot give money one does not have to outside people or causes without being legitimized to do so. However, I consider Friedman’s view as outdated, because many companies incorporate CSR in their strategic roadmap and perceive it as a business goal to support society and/or the environment, thus acting with the authorization of the company.

Nonetheless, Khan, Kakabadse and Kakabadse (2015) see CSR even becoming a significant trade barrier between countries with divergent governance systems and levels of CSR implementation. They state that CSR would hinder free trade: If a country ensures high standards of CSR, companies in other countries could hesitate to deal with them or to invest in such countries.

CSR itself can even be counterproductive, especially when it comes CSR reporting. Particularly small or medium sized companies see it as a challenge of CSR to devote too many resources internally to CSR reporting, instead of doing something good for the outside world (Fassin 2008).

Ethical critique of CSR

Another rather fundamental critique is stated by J. Hans van Osterhout and Pursey Heugens (2008) in an article entitled “Much ado about nothing.” They criticize that CSR cannot be seen as a theoretical concept in social or economic sciences as it does not hold up to academic standards. By contrast, they see CSR as only having “mobilizing qualities,” while it acts as a “real world focal point for managerial initiatives at the business society interface” (ibid. 215).

Peter Fleming and Marc V. Jones (2013) negate the above statement, arguing that CSR has even lost its mobilizing qualities, teeth and radicalism by becoming a servant to companies instead of reforming them. CSR, as they state, is rather “a step backwards than a primary move forwards to some future state of social justice” (Fleming and Jones 2013, position 386).

Banerjee (2007, 64) criticizes CSR as a form of hubris because “CSR stakeholder management is to keep the stakeholders quiet while decisions are made elsewhere.” The argument that CSR has over time become a band aid (Fleming 2009) or “opium for the masses” (Fleming and Jones, 2013 position 1036) is supported by claims about the misuse of CSR as a mere public relations tool (Hopkins 2008) without real or significant impact on society.

Connected to the above argument is the complaint that CSR is only relevant for corporations when they can see an economic advantage for themselves (Bowen 2014; Delmas and Burbano 2011; Cho and Roberts 2010). Or even more radically, CSR is mainly about green- or blue-washing a company's image (Heidbrink and Seele 2007; Pope and Wæraas 2016).
For example, companies pretend to produce eco-friendly products to gain customers (e.g. Bluemotion cars from Volkswagen AG), but upon closer inspection one learns that the products do not hold true to real eco-friendly standards. Such examples include Opel and VW, which in 2010 used green and blue slogans that were deceptive and misleading. VW used an advertisement of its Phaeton sedan, stating that the car would only produce minimal air pollution, thus keeping one’s conscience clear. However, this advertisement was only in comparison to the prior Phaeton model, which produced massive amounts of CO2, not to mention the most current emission scandal starting with VW.⁵⁶

Another example is Nestle, which sees itself as engaged in water preservation and boasts of many such initiatives on its CSR website (see: http://www.nestle.com/csv/water). However, Nestles’ water bottling activities and extensive drilling in Pakistan caused nearby villages to have less water because their local wells dried as the water level fell from 90m to 130m underground.⁵⁷

A helpful resource to detect and challenge unethical behavior of businesses and a thorough reporting is the initiative “Public Eye on Davos,” which since 2000 has been a counter event to the World Economic Forum “awarding” poor business practices.⁵⁸

Political critique of CSR

On a rather individual level, critical voices do not see corporate leaders as politically competent, empathic or agile enough to actually take up the role of a social or environmental agent (Davis 1973; Carroll and Buchholtz 2002; Mintzberg 1983). They argue that managers know about finance and operations, but do not have the necessary practical and emotional expertise to handle CSR related topics. I see this argument as outdated, because managers particularly in the last decade have had to – like politicians – deal with many issues, from the complexity of globalization, to the speed of digitalization and the ambiguity of change.

Further political critique is focused on CSR still not being integrated enough. Successful CSR approaches today – as Ahen and Zettinig (2015) argue – need to be more pragmatic and integrated into a context-bound “sustainable value co-creation.” Additionally, internal multi-stakeholder company structures should be implemented to better support CSR purposes (Hussain and Moriarty 2016; Scherer and Palazzo 2007).

Lastly, most of the current critiques of CSR argue from a more holistic and radical perspective. They demand fundamental changes in the power dynamics and balances within and between

corporations, governments and civil society to make CSR work (Fougère and Solitander 2009; Banerjee 2014; Sandoval 2015; Ahen and Zettinig 2015; Hussain and Moriarty 2016). Banerjee (2014) calls for a more democratic control over global economic policies and the need to create a new species of organizations integrating the social into the economic, ultimately as Sandoval states (2015, 12) turning companies into “RSCs,” responsible social corporations”.

4.4 Trends of CSR

From my practical experience and encounters with junior leaders, it also seems that the up-and-coming generations understand CSR as an integral part of doing business. Accordingly, the so-called “Generation Y” has a very strong set of values that support CSR topics which in the Deloitte’s 2016 Millennial survey results can be reviewed and is shown also in Fig. 25.

Fig. 25: 2016 Deloitte Millennial Survey: Millennials would prioritize the sense of purpose around people rather than growth or profit maximization


It also seems that non-academic magazines, handbooks, conferences, websites, etc. regarding CSR are increasingly growing, as if there is societal pressure on companies to act more responsibly. For instance, the German magazine “enorm” (enorm-magazin.de) uses since 2010 the slogan “Wirtschaft.Gemeinsam.Denken” meaning “To think.Economy.Together”.

In India, the “CSR Times.com”, a magazine that exclusively focuses on CSR topics, has been running since 2013. In South Africa, the consulting firm “Trialogue” (www.trialogue.co.za) produces an annual handbook on corporate social investments, summarizing progress and showing statis-
tics. In addition, increasingly more conferences and CSR-related websites seem to be emerging in all regions of the world.

All of these and many other activities alike show that CSR topics reach a wider audience and continue to become more “mainstream”, which I consider as promising despite all the challenges.

It is also interesting to observe the introduction of new organizational structure in companies. That means firms particularly larger firms from Amazon to Unilever have dedicated CSR departments or the function of a Chief Sustainability Officer or a Chief Caring Officer (Robert Strand 2013).

**CSR maturity**

This speaks to growing maturity of the CSR concept which is referred to by Schneider (2012). Schneider points out, that CSR can be for some companies only about compliance, adhering to internal and external regulations. For others, CSR can be mainly about philanthropy, spending charity money to their community. More mature companies, however, apply CSR as an embedded approach in their company strategy (Galbreath 2009). This means that CSR is a relevant factor concerning how business is done, it is completely integrated into the company’s value chain and belongs to the DNA of the organization.

Schneider’s model (2012, 29) as can be seen in Fig. 26 below provides an overview of different maturity levels for CSR. The levels are ideally not exclusive but rather additive, starting with purely legal CSR and growing to proactive CSR, meaning that a company can be a relevant political player in shaping CSR for the benefit of society while adhering to legal regulations, being philanthropic and creating CSR value through internal systematic strategies and management.

*Fig. 26: Maturity levels of CSR*

*Source: adapted from Schneider 2012, 29*
Further maturity descriptions by Strandberg (2002, 6) and Visser (2011) also describe CSR maturity in different stages. The message, however, stays the same: The more corporations and other organizations understand themselves as holistic, collaborative, (pro)-active and internally as well as externally involved, the more impact CSR will have. Carroll’s (2016) own revision of his pyramid as stated earlier in this chapter also proves this trend as well as the challenge and constructive critiques from Banerjee (2014) and Sandoval (2015).

**CSR Trends Forecast**

The trends forecast for CSR is debated lively in the academic and business world (Riess 2012; Steger 2008; Harwood, Humby, and Harwood 2011). Wayne Visser’s (2012) description of the following 10 trends for CSR summarizes them pointedly and makes up for a good conclusion on this chapter on changes and trends:

*“Trend 1 – In the future, we will see most large, international companies having moved through the first four types or stages of CSR (defensive, charitable, promotional and strategic) and practicing, to varying degrees, transformative CSR, or CSR 2.0.*

*Trend 2 – In the future, reliance on CSR codes, standards and guidelines like the UN Global Compact, ISO 14001, SA 8000, etc., will be seen as a necessary but insufficient way to practice CSR. Instead, companies will be judged on how innovative they are in using their products and processes to tackle social and environmental problems."

*Trend 3 – In the future, self-selecting ‘ethical consumers’ will become less relevant as a force for change. Companies – strongly encouraged by government policies and incentives – will scale up their choice-editing, i.e. ceasing to offer ‘less ethical’ product ranges, thus allowing guilt-free shopping."

*Trend 4 – In the future, cross-sector partnerships will be at the heart of all CSR approaches. These will increasingly be defined by business bringing its core competencies and skills (rather than just its financial resources) to the party, as Wal-Mart did with its logistics capability in helping to distribute aid during Hurricane Katrina."

*Trend 5 – In the future, companies practicing CSR 2.0 will be expected to comply with global best practice principles, such as those in the UN Global Compact or the Ruggie Human Rights Framework, but simultaneously demonstrate sensitivity to local issues and priorities. An example is mining and metals giant BHP Billiton, which have strong climate change policies globally, as well as malaria prevention programs in Southern Africa.*
Trend 6 – In the future, progressive companies will be required to demonstrate full life cycle management of their products, from cradle-to-cradle. We will see most large companies committing to the goal of zero-waste, carbon-neutral and water-neutral production, with mandated take-back schemes for most products.

Trend 7 – In the future, much like the Generally Accepted Accounting Practices (GAAP), some form of Generally Accepted Sustainability Practices (GASP) will be agreed, including consensus principles, methods, approaches and rules for measuring and disclosing CSR. Furthermore, a set of credible CSR rating agencies will have emerged.

Trend 8 – In the future, many of today’s CSR practices will be mandatory requirements. However, CSR will remain a voluntary practice – an innovation and differentiation frontier – for those companies that are either willing and able, or pushed and prodded through non-governmental means, to go ahead of the legislation to improve quality of life around the world.

Trend 9 – In the future, corporate transparency will take form of publicly available sets of mandatory disclosed social, environmental and governance data – available down to a product life cycle impact level – as well as Web 2.0 collaborative CSR feedback platforms, WikiLeaks type whistleblowing sites and product rating applications (like the GoodGuide iPhone app).

Trend 10 – In the future, CSR will have diversified back into its specialist disciplines and functions, leaving little or no CSR departments behind, yet having more specialists in particular areas (climate, biodiversity, human rights, community involvement, etc.), and more employees with knowledge of how to integrate CSR issues into their functional areas (HR, marketing, finance, etc.)”

4.5 Summary

Going forward, I would wish for the topic of CSR a more solid scientific basis. In my opinion, CSR will also have to continuously fight the struggle to be implemented in an honest and truly socially contributing way. Companies will need to assess in what way they want to be part of changing the economic context they are operating in to give the successful implementation of CSR a chance.

Nonetheless, despite all such challenges, CSR is vital in the real world today and its continued success will be decided by how involved leaders will engage in this topic and how well they will handle the tension of serving society and environment while adding to their companies’ value.
Sometimes this will not only mean compromises between the two poles, but in some situations a clear decision towards one or the other pole, albeit never leaning too much to one extreme.

The image of a tight ropewalker comes to mind, who also has to continuously move and remain in motion, because an extreme movement will cause him to lose his balance. Accordingly, living CSR as a company is quite a balancing act, which requires both courage and focus.
One of the sayings in our country is Ubuntu....we think of ourselves far too frequently as just individuals, separated from one another, whereas you are connected and what you do affects the whole world. When you do well, it spreads out; it is for the whole of humanity.

Desmond Tutu

5 Corporate Social Responsibility in South Africa

I chose South Africa for my inquiry for two main reasons: Firstly, I have great experiences, fond memories and still personal ties towards this country. In the year 2000 I spent half a year in South Africa working for Mercedes Benz in East London and Pretoria. Since then I have returned numerous times for private trips and for business reasons and a curious interest and love has grown and is still growing. I am impressed with the country's natural beauty, with its helpful and kind people, while I am equally aware about its struggle on many societal, political and economic levels. My hope in choosing South Africa for this inquiry was to collaborate with different CSR managers and line leaders in order to create something beneficial that could strengthen CSR practices in South Africa and thus contribute to the country’s healthy growth.

Secondly I chose South Africa for its unique position amongst other emerging markets on the African continent. Since the end of apartheid, the country’s economic development has been quite unique and a success story for fast growth. South Africa's economy has been the largest in Africa for decades, only to be surpassed by Nigeria in early 2014. South Africa, despite its slower growth in the last 4 years, is still regarded as the “go to country” when it comes to foreign investment and tourist travels on the African continent.

In emerging markets like South Africa company managers are often required to quickly deliver high growth rates, thus they feel pressured to perform strongly. In addition, emerging market countries often are known for high corruption, thus the temptation for managers may also be

higher to bend compliance rules in order to make quick money. At the same time CSR topics are on the rise in emerging markets, often pushed by international headquarters. Thus, managers must and hopefully also want to be more aware of CSR behavior and compliant with rules and regulations. In my view, managers in emerging markets like South Africa face the difficult task to handle the tension between delivering fast growth numbers and demonstrating CSR behavior. My particular interest was to find out what motivates leaders in South Africa to comply with CSR norms nevertheless and what motivates them to drive CSR in their organizations.

South Africa’s political background is also unique with the Apartheid regime ruling from 1948 until 1994. The first democratic elections in 1994 brought about important legislative changes and a range of innovative laws. The newly adopted and very modern constitution is complemented by various acts and codes of conduct. As we will see later, these codes are frequently related to CSR topics, turning South Africa into a forerunner with regards to CSR on the African continent.

Last but not least, the leadership of Nelson Mandela was marked by many characteristics that are also known as CSR leadership qualities, such as being visionary, never giving up, showing endurance, grit and determination, practicing forgiveness and understanding, being humble and having a mission beyond oneself, such as believing in the peaceful co-existence of diverse opinions and cultures (Wilson, Lenssen and Hind 2006; Angus-Leppan, Metcalf, and Benn 2010; Visser 2008). Starting my inquiry project I assumed that with such a leadership role model, CSR would probably be more prominent in South Africa than in any other African country.

The remainder of this chapter is structured as follows. At first I will list a few general facts about the country. Then I will elaborate on the use and meaning of the term CSR in the South African context. Subsequently, I will talk about the political and legal context, as well as the economical, and social & cultural situation in South Africa and I will delineate how these country-specific circumstances affect the development of CSR. Trends, as well as supportive and hindering factors for the promotion of CSR in South Africa will be identified and will close this chapter.

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61 South Africa has a corruption index of 44 (= being highly corrupt, 100 being very clean). It ranks on position 67 out of 175 states, thus located in the middle: https://www.transparency.org/cpi2014/results, accessed 6 September 2015
5.1 South Africa country facts

South Africa is part of Sub-Saharan Africa and today has roughly 54 million inhabitants, out of which 80.2% are Black Africans, 8.8% Colored, 8.4% Whites and 2.5% Indians or Asians. The majority of the population (close to 80%) is Christian and the country has eleven official languages. South Africa is about three times the size of Germany and its surface area of 1.200.000 sq km is divided into 9 provinces. The administrative capital is Pretoria.

South Africa is a parliamentary republic. The African National Congress (ANC) has been the ruling party since the end of apartheid in 1994. It mainly represents black voters. In the last elections held in May 2014, the ANC won 62.2% of the votes, while the main opposition party, the Democratic Alliance (DA) and the Economic Freedom Fighters South Africa, won 22.2% and 6.4% of the votes. In recent years the ANC has constantly been losing force. It will be interesting to see if the party can keep the loyalty of its constituency, given the tough economic situation in the country and the continuing corruption issues around President Zuma.

5.2 Defining CSR in South Africa

I was curious to find out whether definitions of CSR in South Africa differed from other regions in any specific way. However, the relevant academic literature (Hamann et al. 2005; Ramlall 2012; Visser, Magureanu, and Karina 2015) does not point to any particular difference. The term CSR is used in a general manner without any specification for the South African case. Yet, when I was looking for other sources, such as company or NGO websites, I found out that the term Corporate Social Investment (CSI) is in fact more frequently used than the term CSR. And not only the wording is different. Looking at how CSI is used as a term and applied by companies, it becomes clear that CSI is primarily about philanthropic activities and charity. Only a minor fraction of the activities is concerned with a company’s own value chain, and can thus be classified as CSR measures. Jonathan Hanks (2009), who is engaged in shared value consulting in South Africa, summarizes the difference between the more ‘inward looking’ approach of CSR and the more ‘outward-looking’ approach of CSI as follows: “While CSR refers to how an organization makes its money, CSI is about how it spends some of its money”.

The more ‘outward-looking’ philanthropic approach of South African companies is for example clearly reflected in the CSI definition of Mondi, a big South African paper company: “Corporate social investment (CSI) is defined as contributions (either monetary, employee time and resources, or gifts in kind) which bring benefits over and above those directly associated with our core business activities”\(^6^4\) Nedbank, one of the largest banks in South Africa, also states on its CSR website how much it externally invested: “The Nedbank Foundation is responsible for the largest portion of the bank’s CSI disbursement, which is 42.5 million Rand in 2012, or 41% of total contributions.”\(^6^5\) Again, no internal reference is made; the focus is only on external spendings.

Notwithstanding the difference between what is internationally understood to be CSR and what is locally defined as CSI programs, during my two field trips I realized that South African companies in fact equate their CSI activities with CSR and sustainability, even though these activities might simply be acts of charity, unrelated to business practices. Thus, you might for example find a textile company that runs extensive CSI programs targeting HIV orphans or funding education programs, while most of their clothes are manufactured by underpaid children or illegal immigrants; their factories are polluting water and their business practices foster corruption. Hence, the awareness that CSR is not only about acts of charity but rather about running a business in a sustainable manner, is not yet fully integrated into the South African business landscape. This might partly be due to the long history of corporate philanthropic spending in the country. In fact, according to the Grant Thornton report (Grant Thornton 2014) South African companies rank highest in the world when it comes to the “spirit of giving”, even before US American companies, that likewise have a long philanthropic tradition as you can see in figure 27.

**Fig. 27: Donated Money per Country to Community Causes/Charities (Top Ten)**

<table>
<thead>
<tr>
<th>Country</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>South Africa</td>
<td>95%</td>
</tr>
<tr>
<td>US</td>
<td>93%</td>
</tr>
<tr>
<td>Canada</td>
<td>92%</td>
</tr>
<tr>
<td>Germany</td>
<td>89%</td>
</tr>
<tr>
<td>Ireland</td>
<td>82%</td>
</tr>
<tr>
<td>UK</td>
<td>80%</td>
</tr>
<tr>
<td>Greece</td>
<td>78%</td>
</tr>
<tr>
<td>New Zealand</td>
<td>77%</td>
</tr>
<tr>
<td>Nigeria</td>
<td>74%</td>
</tr>
<tr>
<td>Malaysia</td>
<td>68%</td>
</tr>
</tbody>
</table>

Source: see Grant Thornton report 2014, 2

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\(^{6^5}\) [http://www.csi.nedbank.co.za/csi/foundation](http://www.csi.nedbank.co.za/csi/foundation), accessed 6 September
Furthermore, all my interview partners from big multinational firms in South Africa told me that social activities have traditionally been important for them, even before there were any national or international codes that urge companies to comply with ethical standards. Even today this 'intrinsic motivation' to engage in social activities seems to live on. In a survey conducted for the Grant Thornton report, only 35% of South African firms stated that either legal policies or public pressure were at the base of their corporate social activities (Grant Thornton 2014). Of course, this widespread 'spirit of giving' might partly be induced by the fact that the South African government is neither adequately organized nor well equipped to attend to social needs in a sufficient manner (Waldman et al. 2006). A great example was the inauguration of the Nelson Mandela School in May 2014. Siemens had finance the school and I could feel the buzz and pride of at Siemens’ employees about it while I was there during my second fieldtrip.

To sum up, we can note that while the terms CSR and CSI are often used interchangeably in the South African business environment, the majority of companies' CSI programs still rather provide social services to communities than target their own business practices to reflect CSR standards. This legacy of philanthropic spending is only slowly changing with the diffusion of international CSR standards and instruments in the country. Thus, I observed that the South African branches of international players such as VW, Mercedes or GE seemed to be more conscious of the difference between CSR and charity, due to their European or American mother companies. These companies apply the principles of international reporting standards such as Global Reporting Initiative (GRI) and request that also their local subsidiaries act in accordance with these standards. Slowly but steadily, these international influences are changing the general meaning of CSI in South Africa, moving away from the philanthropic connotation to a more strategic, internal and proactive approach (Matthews 2014). As we will see in the following section, legislation in post-apartheid South Africa has in fact created a fertile ground for the development of more strategic and sustainable CSR activities.

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66 For more information about GRI see https://www.globalreporting.org/Pages/default.aspx, accessed 8 August 2015
5.3 The political and legal/policy context for CSR in post-apartheid South Africa

The Preamble to South Africa’s 1994 constitution not only lays the ground for democracy in South Africa, but also for the implementation of more structured and strategic CSR approaches, as Stella Vettori (2005) points out. The preamble states that the constitution has been adopted in order to „improve the quality of the life of all citizens“67. This 'promise' has led to the creation of certain codes of conduct that were introduced to foster equality in the population, to improve the education and health system and to boost the socio-economic development.

In the following I will focus on a few major post-1994 policies that are important to note for their impact on the development of CSR in South Africa which Matthews (2014) and Ramlall (2012) describe in more detail.

In 1994 Nelson Mandela initiated the so called Reconstruction and Development Program (RDP) which was intended to help boost economic growth and correct inequalities resulting from apartheid (Ramlall 2012, 274 ff.). The RDP, focusing on housing, clean water, electrification, land reform and health care would link growth, development, reconstruction, redistribution and reconciliation into a unified program.68

In the same year, The King Report on Corporate Governance came to life. Issued by the King Committee on Corporate Governance, named after Mervyn E. King, a retired supreme court judge who presided over the committee, it was the first corporate governance code in South Africa and thus groundbreaking. The report is a non-legally binding instrument based on principles such as leadership, sustainability and good corporate citizenship. Thus, the connection to CSR activities is quite obvious because it means that the duty of directors of companies is to act not only in the best interest of their firms but for a greater good.

Compliance with the King Reports is a requirement for companies listed on the Johannesburg Stock Exchange. The report has been cited as “the most effective summary of the best international governance practices in corporate governance” (Smart and Creelman 2013, 221). In the meantime, the King Report has been evolving, with King II issued in 2002 and King III in 2009. The main changes introduced by King III relate to the composition and role of the board, the board committees and the new topic on IT governance and the need to publish an integrated report.

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Though discussed in different chapters, King III has emphasized the link and interplay between ethics, corporate social responsibility, governing stakeholder relationships and integrated reporting. In addition to the above, the most contentious change is probably the applicability of King III to all entities regardless of form of incorporation (Muwandi 2010)\textsuperscript{69}.

In 2003, a successor program to Mandela's Reconstruction and Development Program was implemented. The new program, called \textbf{Black Economic Empowerment (BEE)}, was specifically designed to encourage black ownership of companies, by a range of measures from entrepreneurial courses to financial support for start ups (Jackson, Allessandri and Black 2005)\textsuperscript{70}. As Jenny Cargill (1999, 34) explains: „In 1995 blacks still owned less than 1% of the total market value of the Johannesburg Stock Exchange (JSE) and thus a focus was put on this field to change this inequality.

However, after a short time it became clear that BEE would only help a few individuals to get ahead and the majority of black people would not be able to benefit from the program. Thus, in 2007 the program was extended to the BBBEE program (Broad Based Black Economic Empowerment). As a cornerstone of the South African Government’s efforts to educate and train the large sector of the population that was disadvantaged under apartheid rule, it aims to accelerate the participation of black people in the economy by encouraging change in the following key areas of business:

- **Ownership**: The extent to which black people can influence the strategic direction of the business through their shareholding (ie, their voting rights in relationship to the total shareholder vote).
- **Management and control**: This refers to the proportion of black people who control the direction of the business as well as those in top management who control day-to-day operations.
- **Employment equity**: It measures the representation of black people at each management level in a business.
- **Skills development**: It measures a business’s investment in the training and development of its black employees.
- **Preferential procurement**: This focuses on the aspect of only buying from businesses that have a high BBBEE score. Your suppliers’ ratings in turn depend on the ratings of their


\textsuperscript{70} This was also mentioned in an interview with Cordelia Siegert, German Chamber of Commerce, January 15, 2014, Johannesburg.
suppliers, and so the pressure to become BBBEE compliant is spread all the way down the value chain.

- **Enterprise development**: Here it counts how much a business does to support the creation or growth of another BBBEE business.
- **Socio-Economic Development**: The final element of the BBBEE scorecard is socio-economic development – also referred to as corporate social investment. Generally, this includes a company’s donations to charity, or involvement in industry-specific charity-based initiatives.

Seven years later, in May 2015, the Department of Trade and Industry (DTI), responsible for the BBBEE code, consolidated the categories again. The now relevant B-BBEE Revised Codes of Good Practice (RCoGP) categories entail:

- Ownership
- Management Control (including Employment Equity)
- Skills Development
- Enterprise and Supplier Development (formerly Preferential Procurement and Enterprise Development)
- Socio-Economic Development

This reduction was done “to ensure that ownership by black individuals was given greater priority by the business community” as Chief director of the Department of Trade and Industry, Takalani Tambani said. Thus, this development implicates going back to square one, meaning to 2003, when BEE had first been introduced with the intention to transfer economic ownership to the majority of people in the country, the black people.

It is important to note that BBBEE is not legally binding for the private sector. However, if companies do not comply with the BBBEE regulations, they will miss out on a lot of business opportunities, because the public and governmental sectors can only collaborate with organizations that adhere to the BBBEE regulations. Thus, the private sector is indirectly bound to BBBEE if they want to be considered for business with public and governmental organizations (Ramlall 2012, Jack and Harris 2007; Arya and Bassi 2011).

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72 Large companies need to put a special focus on Ownership, Skills Development, Enterprise & Supplier Development
I can and will not dive further into the **BBBEE scorecard system**. This system has created a tremendous consultancy industry in South Africa due to its complexity. Particularly the latest version of 2015 has created quite some confusion that is still being solved (Steynt 2015). This complexity and confusion holds also true for international CSR related scoring systems, such as the Global Reporting Initiative (GRI). While the positive side of such reporting initiatives is that they help to focus on and monitor CSR issues, the down side is that companies often feel overburdened with the reporting standards and reporting is sometimes just done to check the boxes of voluntary compliance. At the First Annual Conference on Global Reporting 3.0 that I attended in Berlin on September 6, 2013, this was also one of the major discussion points. The South African BBBEE reporting seems to be beset by the same problem. In South Africa Ralf Hamann even speaks about a “conduct fatigue” (Hamann 2008, 6).

The **success of the BBBEE** code was and still is controversially debated (Mbeki 2009; Jackson, Alessandri, and Black 2005). Some commentators point out the positive effects such as „training, training, training”75, „rigor and focus” to work against inequality76 or simply awareness (Jack and Harris 2007). Others identify problems, such as the limited range of beneficiaries or the fact that the BBBEE caused an unhealthy quota system that puts insufficiently qualified black people into managerial positions. Hamann even states provocatively that the BBBEE has become an “elite pact” between the new governing elite and the corporate sector “sidelining the poor” (see Hamann 2008). Opponents of the BBBEE system argue that due to the current lack of qualified black people companies struggle to find suitable candidates. Thus, either unqualified people are trying to do the work, as mentioned above, or even worse: black employees get officially hired into management positions but do not really do the work. Sometimes companies use false credentials to comply with the guidelines. This practice is called “fronting” and is illegal77.

Also among my conversation during the fieldtrips, BBBEE was debated very differently. None of the executives however, no matter, if black or non-black were fully supporting the latest changes. They argued that some of the regulations had reached a degree that causes re-discrimination and are not really creating added value. An executive from Munich Re78 shared an example of where a black middle man firm had to be used (to gain BBBEE points), yet from a business point of view it would have been much cheaper if Munich Re had continue to do the activity itself. In that sense he said, this is not sustainable value creation, but artificial work employment that will not bring the country forward.

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75 Interview with Ralf Franke, senior executive at Kühne & Nagel, January 11, 2014, Johannesburg
76 Interview with the CSR Manager of BMW, January 28, 2014 Johannesburg
77 Interview with legal counsel Avanade, January 24, 2014 in Johannesburg and Ramlall (2012, 277)
78 Interview with Rolf Weber, Munich Re, February 2014 in Johannesburg.
To sum up, the implementation of the above described policies and codes of conduct have given CSR a more prominent role in South Africa compared to other African countries. The Black Empowerment history has been a major driver for the initiation of CSR projects particularly those ones in the area of socio-economic development (Chahoud et al. 2011). The 2015 revision of the BBBEE program could prospectively lead to a more mature and strategic CSR approach in South Africa, away from the philanthropic orientation. Among other things, the government is now prioritizing the professionalization of organizations. This puts the internal processes of companies and their suppliers under increased scrutiny.

Besides the BBBEE program, however, the public sector is not much involved in the monitoring of CSR activities (Schaller 2007). There is a lack of competence and coordination at the government level and private consultancies and research institutes are more and more filling this gap.

5.4 Economic transition and companies' CSR involvement

South Africa is the second richest country in Africa, constantly fighting with Nigeria for the pole position. At the same time South Africa has a very high Gini-coefficient, indicating severe inequality. In 2014, the Gini-coefficient reached 65 out of 100 and was in fact the highest in the world. In the graph below the Gini-coefficient is correlated with South Africa's unemployment rate of 36% of the labor force. Compared to other countries that suffer from high inequality and unemployment, South Africa scores by far the worst.

During my time in South Africa I noticed concern and irritation about this fact. Business people are getting impatient, external investors wonder where all the spending and investment is going and President Zuma and his cabinet is under pressure because of the ongoing inequality, high unemployment and corruption.

**South Africa’s economy** has traditionally been based on the so-called primary sector, the exploitation of natural resources. This includes agriculture, forestry, fishing and mining. Manufacturing, as the secondary sector, is quite stable and still plays an important role. Since the early 1990s, however, the service industry, the so-called tertiary sector, has gained importance, slowly directing South Africa towards a “knowledge-based economy”.

The **union movement** is quite powerful in South Africa and does fight for (Hamann 2004). The Congress of South African Trade Unions (COSATU), founded in 1985, organizes half a million workers in 33 unions. It is interesting to note that under Nelson Mandela’s presidency there was a time of complete labor peace whereas under Thabo Mbeki and Jacob Zuma labor unrests have been rising. Overall the presidency of Mr. Mandela had a peaceful influence on the country where under Zumas’ presidency the country seems to being going backwards on many levels, economically and ethically.

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**Fig. 28: South Africa’s unemployment in context**

*Source: 20 Years of Freedom, A Goldmann Sachs Publication from November 2013, page 32, available online, accessed January 2015*

[Diagram showing South Africa's unemployment rates from 2000 to 2013, including an image comparing unemployment rates with Gini coefficients for different countries.]

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**Footnote:**

The **Johannesburg Stock Exchange** (JSE) is the first of its kind in an emerging market to develop a sustainability index for its top 160 listed companies. The JSE Socially Responsible Investment (SRI) Index promotes sustainable and transparent business practices and has evolved constantly since it was launched in May 2004. Listed companies in the FTSE (Financial Times Stock Exchange)/JSE All Share index are reviewed annually for a set of environmental, social and governance (ESG) standards. In 2013, the companies that scored highest were Anglo American Platinum Limited, Illovo Sugar Limited, Nedbank Limited, Standard Bank Group, Steinhoff International and Vodacom Group Limited.\(^1\) With this ongoing effort of the JSE, the South African Stock exchange hopes to enhance the social responsibility of its members (Dawkins and Ngunjiri 2008).

After almost two decades of **transition from apartheid to democracy**, South Africa is still in a state of economic transition. Only a minority of people has benefited from economic growth in the country and the economy is currently stagnating. On a macro level, the National Development Plan for 2030 (National Planning Commission 2012) still sees the priorities in three areas\(^2\):

- Raising employment through faster economic growth
- Improving the quality of education, skills development and innovation
- Building the capability of the state to play a developmental, transformative role.

With respect to CSR developments in the country, these three objectives still leave much room for the private sector to provide financial support and donations. Most likely, companies will try to combine their classical CSR investment with gaining points in the BBBEE system. When I spoke, for example with Siemens, Mercedes and VW about how my inquiry could benefit them, I noticed that they would appreciate ideas that helped them to gain as many BBBEE points as possible\(^3\).

Due to the fact that many South African ministerial departments do not seem to make considerable progress in the education or health sector, many **private companies** still feel obliged to fill the gap. A 2013/2014 study from Trialogue, involving 99 companies active in South Africa, found out...

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\(^1\) The 2015 winners will be announced end of 2016. See [https://www.jse.co.za/services/market-data/indices/socially-responsible-investment-index](https://www.jse.co.za/services/market-data/indices/socially-responsible-investment-index), accessed 22 August 2016


\(^3\) These conversations created my idea to combine HR and CSR activities to gain more BBBEE points and offer a project that could maximize BBBEE points. I wrote a draft and presented it to the CSR managers who took it up for consideration - see document in appendix 8.
that CSR spending is mostly directed at education, community development and health, and is motivated by moral imperative, reputational concerns and the BBBEE code (Matthews 2014).

**Fig. 29: Drivers for Corporate Social Investment**

Source: CSI Handbook from Trialogue online available http://trialogue.co.za accessed February 2015

This fits again to my findings from the conversations with the CSR Managers who shared with me that beside the pressure of BBBEE, their companies had always been involved in CSR activities, the moment their starting doing business in South Africa. The relentless drive from a German executive at Kühne & Nagel who resides in South Africa since 20 years married to a South African is also a great example. He continues to influence with certain national partners the introduction of a dual apprenticeship system, because as of today school students who finish the Matric (South African high school diploma) can only go to university or they do not have a chance for another qualified next education level.

Multinational and in particular German companies, considering post-apartheid South Africa as a safe haven for their business activities on the African continent, have played an important role in the economic development of the country. Many of these international players have started to employ local CSR managers (Strand 2013), as do local companies. However, according to the companies that I spoke, the CSR department is usually rather small. There is often only one employee, either reporting to HR, Finance or Communications. The professional qualification of the

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84 Searching and comparing the CSR websites of Bayer, BMW, Mercedes, Siemens and VW, it was obvious that the majority of their projects is in the field of education and learning, e.g. the 7 out of the 12 CSR initiatives Mercedes are focused on education.
CSR managers was in my view quite diverse and I was sometimes wondering, if local CSR staff had simply been hired to adhere to the quota. However, as one of the CSR responsibles at Mercedes said: “Our CSR department was brought into existence about 6 years ago and this has led to a much more strategic push of our activities”. This effect is most likely true for all other CSR departments and thus encouraging news towards a more strategic CSR dialogue.

5.5 Social and cultural influences on CSR in South Africa

South Africa is characterized by a high cultural and social diversity. In addition to the indigenous majority there are people of European, Indian and Malaysian descent. With eleven official languages, South Africa is often referred to as the rainbow nation. The age distribution is quite typical of an emerging market. Younger age population is dominant in the pyramid, whereas in more saturated markets, such as Germany, the pyramid is put upside down. As you can see in the graph below, the majority of people in South Africa are aged between 20 and 30 years. According to my opinion, this is an interesting aspect, since it is the first generation that did not grow up in the apartheid system. Hence, this generation might not be as influenced by the race discussion and black empowerment movement as previous generations, leaving room for the discussion of diverse societal issues, including CSR.

Fig. 30: South Africa’s Population Pyramid in 2014

Compared to other emerging markets, the welfare system of South Africa is quite well functioning (Bhorat et al. 2014). It focuses on child support and pension for the elderly population. Public hospitals and clinics provide a limited degree of free medical care and the government runs an unemployment insurance fund. Despite all that, many CSR-NGO players also work in these areas.

There is a major difference between rural and urban culture, the former being more communal and religious, while the latter is rather individualistic. I remember that during my inquiry trips in South Africa conversations often ended with “God bless you” from my interview counterpart, and two times people also mentioned to me that their religious belief was a major motivation for their engagement in CSR activities. In fact, next to the realm of religion, other social and cultural origins of 'giving' and 'being responsible for one another' can be identified, that might have an influence on the development of CSR in the country. On a broader scale, African movements such as the Kenyan “Harambee”, promoting 'mutual assistance and joint effort', as well as African Islamic concepts such as “Tsekada” and “Zekat”, calling for the fulfillment of obligations to society and giving to the poor, should be mentioned here (Visser and Tolhurst 2010, 3). In South Africa this tradition is known as „Ubuntu” reflecting an interdependent, communal, harmonious, relationship-aware and respectful community culture. According to this concept, each person can only be fully functioning through other people (Nussbaum 2003).

Or as Eze (2010, 190-191) puts it:

A person is a person through other people - this strikes an affirmation of one’s humanity through recognition of an ‘other’ in his or her uniqueness and difference. It is a demand for a creative intersubjective formation in which the ‘other’ becomes a mirror (but only a mirror) for my subjectivity. This idealism suggests to us that humanity is not embedded in my person solely as an individual; my humanity is co-substantively bestowed upon the other and me. Humanity is a quality we owe to each other. We create each other and need to sustain this otherness creation. And if we belong to each other, we participate in our creations: we are because you are, and since you are, definitely I am. The ‘I am’ is not a rigid subject, but a dynamic self-constitution dependent on this otherness creation of relation and distance.

Nelson Mandela during his presidency often referred to the concept of Ubuntu as a building block for his “rainbow society”, emphasizing that respect and goodwill for each other is crucial. As mentioned earlier I also was surprised about the big role of religion and spirituality in modern

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85 Especially the chapters by Arden Finn, Murray Leibbrandt and Vimal Ranchod give insights on that topic.
86 See also https://www.youtube.com/watch?v=HED4h00xPPA, accessed 6 September 2015. If we look at Social Construction principles (Ken Gergen) Ubuntu is in line with principles of co-creating meaning or joint sense-making
South Africa as motivator and driver for personal CSR engagement and activities. In one interview, a CSR manager explicitly stated her religion being her personal driver. She said that “she owes this to her religious beliefs” and I remember how emotional she got when she said it. Also every time we spoke, she closed our conversations with “God bless you” which you encounter sometimes when people are saying “Good Bye” in South Africa.

In addition to religious beliefs and cultural concepts such as Ubuntu, CSR developments in the country are also shaped by a very vibrant civil society with around 100,000 active organizations (Schaller 2007, 123). The peaceful transition to democracy was led by a joint effort of society, government and business and a lot of communication platforms were installed to support the tripartite dialogue, also dealing with CSR related matters. In 1995, Nelson Mandela initiated the National Business Initiative (NBI), a South African not-for-profit development organization that includes an extended group of leading South African and multinational companies, working together towards sustainable growth and development in South Africa. Through the collective power of its member companies, the NBI is able to create a sustainable economic future through the implementation of responsible business leadership; hence it plays a key role for CSR concerns in the country.

Nedlac, the National Economic Development and Labour Council, is another dialogue forum initiated by the Mandela government in 1994. At Nedlac, Government comes together with organized business, labour and community groups on a national level to discuss and try to reach consensus on issues of social and economic policy. This is called “social dialogue”. Universities and research institutes are furthermore relevant CSR players. Professor Arnold Smit, Director at the Centre for Business in Society at the University of Stellenbosch and Ralph Hamann, Professor at the Business School of Cape Town University, conduct important CSR research. When I spoke with Professor Arnold Smit he said that it is encouraging to see how much money is invested into the universities, yet he would “love to see more business ethic education at universities so that economies would get a more human face”.

Also the Bench Marks Center for CSR, headed by Professor Cronjé and founded in 2012, should likewise be mentioned here. When doing my inquiry I received great support from these universities, either through personal conversations or library access, helping me to find relevant master or PhD theses on this topic.

87 http://new.nedlac.org.za/, accessed 22 August 2015
88 Interview with Prof. Dr. Arnold Smit in May 2014 at the Business School at University Stellenbosch.
Last but not least I would like to mention Trialogue, a private consultancy in South Africa, as an important 'dialogue supporting' player. Offering research, training and conferences on CSR, it is seen by business as the 'go to partner' in when it comes to practical research on CSR.90

I will close this chapter on CSR in South Africa with a summary of recent CSR trends and I will furthermore identify helping and hindering factors for the promotion of CSR in South Africa.

5.6 CSR Trends in South Africa in the last 20 years

In the first ten years after the democratic election, from 1994 to 2004, the CSR landscape in South Africa began to professionalize and formalize itself. While philanthropic activities were previously often shaped by the individual interests of a certain donor, companies started then to have more formal CSI programs that were connected to their core business. They started to behave more pro-actively rather than simply responding to requests (Matthews 2014, 97). The automobile sector, for example, started to focus on training school pupils on security on the streets and senior executives became increasingly involved and more and more companies introduced volunteer programs (Riess 2012; Bertelsmann 2012).91 The idea of multi-sector partnerships also grew and rather than running several projects, companies started to focus on a few partners, e.g. in 2011 the South African Department of Health initiated a 14 yearlong multi-sector HIV and AIDS prevention program involving national and provincial AIDS councils, NGOs and different businesses.92

In the years from 2004 to 2009, the implementation of the BBBEE code demanded business compliance and led to the initiation of ever more CSR related initiatives. CSR managers received increased formal training and contributed to a strengthening of the internal organization structures of companies, for example from the Centre for Corporate Citizenship at UNISA (Ahmad, Aras and Crowther 2013). More emphasis was put on long term partnerships with selected NGOs and the professionalization of the management of jointly run projects. CSR communication and reporting was optimized, following more and more international guidelines in addition to national reporting standards.

From 2009-2014 the implementation of the Kings Code III demanded even more corporate governance, meaning that executive leaders of organizations had to become increasingly involved in CSR activities. Visser (Visser, Magureanu, and Yadav 2015) states that integrating CSR and corpo-

90 For a more detailed list on important international, national and regional key players in government, business and society promoting the South African case of CSR you may refer to Bertelsmann/GTZ (2007).
91 See also interview with Esther Lange, CSR Manager, BMW, January 2014
rate governance requires strong and **socially aware leadership**. Organizations like the Institute of Directors become even more relevant, offering trainings and mentorships for executives to increase awareness for CSR topics. This way CSR matters are hopefully more routinely discussed at board level and built into the companies’ core business practices.

However, by using CSR mainly for **external branding purposes**, the danger of CSR being dominated by public relations departments becomes apparent (Hamann, Khagram, and Rohan 2008). In addition to the above mentioned multi-sector partnerships, also more **Public Private Partnerships**, overseen by the South African National Treasury, got installed (Fombad 2014).

In the last 5 years the focus on CSR collaboration with as many stakeholders as possible grew even stronger which is so needed to solve the still pressing societal issues in South Africa. There are still a lot of untapped opportunities to get **small and medium-sized companies** to implement more strategic CSR behavior. According to a research carried out by the German Organization for International Collaboration (Smit and GIZ 2013) stronger **cross-sector collaborations** can be a leading role model for these small and medium firms but also for international companies residing in South Africa.

### 5.7 What helps or hinders CSR going forward?

In 2009 the German Agency for Technical Collaboration (GTZ 2009) conducted a survey on “Helping and Hindering Factors” for the development of CSR in South Africa in order to better allocate resources. The study detected five factors that are **key for the implementation** of sustainable and successful CSR activities:

- The support and participation of key top leadership
- Alignment of CSR activities with the company’s core business
- The impact of government legislation and sector charter guidelines
- Partnerships with other stakeholders, including government and NGO’s
- Management of CSR activities by specialized service providers, including NGO’s

The study (GTZ 2009, 104) also found five factors that **hinder** CSR implementation and impact, especially in the social and environmental context:

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93 [http://www.iodsa.co.za/?page=DirectorDevelopment](http://www.iodsa.co.za/?page=DirectorDevelopment), accessed 22 August 2015
94 Gesellschaft für Internationale Zusammenarbeit - GIZ
95 Now GIZ
- Lack of a shared goals and commitment to CSR projects from the recipient communities, as well as from other key partners
- Lack of capacity and experience - many CSR managers had other roles apart from CSR
- CSR is not sufficiently supported and driven by the top management – this is the case especially with multinationals where the policy directives are not consistent with local situations
- Poor management of partner NGO’s, as well as poorly trained, equipped or illiterate community partners
- Poor identification of CSR projects, as well as a lack of focus in project selection

The study points to the fact that the support and participation of the top management of a company is crucial for the success of CSR initiatives. Thus, I feel that my inquiry can be a helpful contribution since it is specifically designed to find out what motivates South African leaders to support CSR activities.

To close this chapter I would like to state that South Africa still has a lot of 'CSR work' to do, yet compared to other countries worldwide it is doing fairly good (Bertelsmann Stiftung/GTZ 2007). This comparative study on CSR classifies the South African case as “Second Generation Maturity Level” which is shown in Fig. 31. This means South Africa can be proud to have basic CSR policies in place, that government as well as larger businesses do work with core CSR instruments and try to live initial partnerships across sectors.

**Fig. 31: South Africa’s CSR is on a Second Generation Maturity Level**

<table>
<thead>
<tr>
<th>Maturity level</th>
<th>First Generation</th>
<th>Second Generation</th>
<th>Third Generation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recommended focus for CSR instruments</td>
<td>No specific CSR policies, no competency, instruments in place may be related to CSR</td>
<td>Basic CSR policies in place, significant CSR activities with core CSR instruments and initial partnerships</td>
<td>Cutting-edge CSR policies, mature CSR practices and established partnerships</td>
</tr>
<tr>
<td>CSR policy focus on economy</td>
<td>Mozambique, Brazil, India</td>
<td>China</td>
<td>United Kingdom</td>
</tr>
<tr>
<td>CSR policy focus on civil society</td>
<td>Egypt, Poland</td>
<td>Vietnam</td>
<td></td>
</tr>
<tr>
<td>CSR policy focus on politics</td>
<td></td>
<td>USA, China</td>
<td></td>
</tr>
<tr>
<td>CSR policy focus on cooperation</td>
<td>South Africa, Germany, France</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Source: Bertelsmann Stiftung/GTZ 2007
Still ways to go, but as Nelson Mandela would say: “It always seems impossible until it’s done”. So everyone should feel invited to continue the joint efforts.
“Hope” is the thing with feathers
That perches in the soul
And sings the tune without the words
And never stops at all.

Emily Dickenson

6 On CSR Leadership – only a vision, a hope?

6.1 Why am I connecting CSR with leadership?

In this chapter, I will focus on CSR leadership. If companies want to take a major leap in moving towards integrating CSR into their value chains, particularly in fast-growing regions, their leaders have to take action and be (hopefully) motivated for it (motivation is addressed in chapter 7). Otherwise, they will remain at the stage of simply fulfilling legal compliance requirements.

In chapter 5 (CSR in South Africa), a GIZ study on “Helping and Hindering Factors for the development of CSR” (GTZ 2009) stated that the number one factor is the support and participation of (top) management. Schminke et al. (2002) also showed in their study that if leaders are actively role modeling and encouraging CSR related behavior, others will follow.

It is encouraging to read “that more and more companies are improving the way they do business with passionate leadership in ready-position and a laser focus on systemic change operating under a license from society” – as Indri K. Nooyi, Chairman and CEO of Pepsico described it96.

This chapter elaborates the concepts of CSR leadership and shares an overview of how and why leadership theories developed towards CSR-related leadership theories. It will discuss appropriate definitions and evaluates CSR connected behaviors, competencies and skills.

6.2 CSR and Leadership: My perspective

During my times as an HR Director in big corporations, I noticed the pull of leaders who were known to display integrity in their leadership. Particularly young talents were drawn to their departments. The morale and atmosphere in these teams was significantly different, more open and connected, with a desire to perform, innovate and deliver results with fun and integrity.

When I am facilitating leadership programs for large corporations around the world, I am always curious and interested to hear, how these participating leaders define the term “leadership”. No matter if the program is in Africa, Europe or the Middle East, the debates about the definition is always controversial. But the main and recurring statements in my workshops are as follows:

Leaders set the right vision; they are more concerned with doing the right things than doing things right; they need to take more time to handle people’s issues than focus on numbers; they should enter new territory and not just manage what is existing. These are the things people often say.

When I am asking corporate leaders what comes to their minds when they hear the term “CSR Leadership,” I often only get blank looks. Many do not recognize the abbreviation and when they hear the full term “corporate social responsibility,” they mostly connect it with philanthropic activities. If we continue the conversation, they then seem to have an intuitive knowledge of what a responsible leader does, conveying phrases such as “means well for the business and for society,” “thinks bigger than just profit,” “wants to find ways to make money with new ecological friendly innovation,” “treats people with respect and honesty,” “has a high personal integrity,” “makes ethically right decisions,” “creates alliances to jointly come up with sustainable solutions on a larger scale,” etc.

I mention these varieties of understanding for both leadership and CSR leadership in the business world, because in the academic world there is an equally diffuse canopy of definitions. As with Corporate Social Responsibility – seen in chapter 4 - there is no single “definition”, neither for leadership nor for CSR leadership. I will explore how leadership theories in general developed over the years and will discuss, how this may be connected to CSR related leadership. Thus, in the following paragraphs I take the reader on a journey towards CSR leadership and conclude with my own definition, building on the groundwork of Basu and Palazzo (Basu and Palazzo 2008).
6.3 Moving towards CSR leadership theories (1840-1995)

The journey towards CSR leadership concepts starts with the “Great Man Theory” of Thomas Carlyle in 1840. Based on Carlyle’s various descriptions of heroes creating history, the notion that “great leaders are born, not made” became famous. The following Trait Theory of Leadership focuses on the different personality traits a person has, such as temper, intelligence, willpower, charisma, etc.

Translating this theory to my inquiry topic, the question would be this: What characters traits do people need to be born with to be a good CSR leader? Although there appears some good reason that some “character traits”, e.g., openness, agreeableness may be more beneficial than others to CSR leadership in the sense that they foster curiosity for new ways of leading, for building alliances to encounter societal challenges etc. However, there is – in my point of view – a limit to Carlyle’s theory. If today’s leadership development world would fully accept his theory, there would be nothing to be developed; it would be useless to build CSR curricula at corporate and business schools, because managers would not change but stay as they are born, be it, e.g., caring or non-caring.

Therefore, it is no surprise that in the 1930s in contrast to the Trait Theory, the Skills and Behavioral Theory was developed. Lewin (Lewin, Lippitt, and White 1939) and later Katz (2008) believed that leaders can be developed by, e.g., learning the right skills and behaviors. – Staying with my CSR inquiry question, this would mean that simply identifying and training the “right” CSR skills and behaviors would make it possible to create the appropriate leaders for CSR. In the 1930s, CSR skills and behaviors were not yet on the horizon. Later in this chapter you will see that since about 2005 a variety of normative and/or empirical descriptions and lists of CSR skills and behaviors have been created (see chapter 6.5.3).

The Contingency Leadership Model, developed in the 1960s (Ashour 1973), assumes that leaders have a fixed style. This concept is going back to the idea that leaders have inherent leadership characteristics/traits and leads to the conclusion, that specific leaders could be chosen for certain tasks. In translation for my CSR topic this means in specific situations or countries in the world,

98 In 1939 Kurt Lewin - as a representative for the behavioral school - identified three ways leaders can behave: more autocratic, more democratic or rather laissez faire. In 1955 Robert Katz in his article “Skills of an Effective Administrator” reviewed that three skill types come in handy: technical skills, human skills and conceptual skills.
when a more CSR related leadership is required, CSR-like leaders should be chosen to cover the assignments.99

Another important approach is the Situational Leadership Theory introduced by Hersey (Hersey 1985). His perspective is that there is no single best leadership style. Instead, the best or most successful leaders simply adapt their behavior towards the people they are dealing with. Transferring this approach to CSR, some people may need more guidance regarding how to handle CSR topics and behavioral codes whereas other employees can just be ignited by their leaders with a few high-level visions and directions on CSR topics.

One essential turn in the leadership discussion happened in 1978 when James MacGregor Burns introduced the differentiation between Transactional and Transformational Leadership (Burns 2010). Burns’ differentiation builds on the Distinction between Managing and Leading, a concept originally developed by Zalesnik and de Vries (1975, 230–253).100 Burns’ theory contains, in short, the concept, that there is a relational character of leadership: While transformational leaders offer a vision and purpose to their followers, which transcends short-term goals and focuses on longer term intrinsic needs of the others. Transactional leaders focus on the short-term exchange of resources. While transformational leadership results in followers identifying with the needs of the leader, transactional leaders give followers something they want in exchange for the aims of the leader.

For my CSR leadership inquiry, a transactional leader would offer something in return for a CSR conform behavior whereas a transformational leader would understand how to trigger the intrinsic motivation of his/her followers for CSR.

This rather classical comparison on the dichotomy of managing and leading or transactional vs. transformational leadership, I am taking up now and adapt it for CSR leadership purposes. My summary is listed in the following table (Fig.32):

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99 This reminds me of my times as an HR executive at Mercedes when in our succession planning rounds we defined “crisis managers” as managers that seemed to have a specific fit to lead in crisis situations. So why not doing this for CSR relevant positions as well – define particularly suited leaders for CSR tasks.

100 While the minimum man (or transactional leader) is seen as someone who is a rational negotiator with an eye for numbers and technical details, managing the present of the organization, the maximum man (or transformational leader) is seen as the charismatic leader, a great innovator with very high self-esteem defining the future of the corporation. Pjotr Hesseling (1978, 33–34) takes up this differentiation and adds that potentially unethical behavior can be displayed by the minimum and the maximum man, yet for different reasons: The minimum man accepts bribery if it is an accepted way of doing business and helps the company to grow numbers, the maximum man makes this decision depending on his own inner values system without any external reference.
**Fig. 32: Dichotomy of managing and leading and transactional vs. transformational leadership adapted for CSR Leadership**

<table>
<thead>
<tr>
<th>Managing/(Transactional)</th>
<th>Leading/(Transformational)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Process:</strong> Setting up CSR processes and goals</td>
<td><strong>Vision:</strong> Sharing CSR Vision and Strategy with People</td>
</tr>
<tr>
<td><strong>Doing things right:</strong> Executing CSR processes seamlessly</td>
<td><strong>Doing the right things:</strong> Setting the right CSR priorities in the CEO Agenda and help shaping CSR with external partners</td>
</tr>
<tr>
<td><strong>Rules:</strong> Focusing on CSR rules and regulations</td>
<td><strong>Values:</strong> Building internal CSR values</td>
</tr>
<tr>
<td><strong>Facts:</strong> Collecting CSR facts and figures</td>
<td><strong>Stories:</strong> Sharing successful CSR stories and emotional best practice examples</td>
</tr>
<tr>
<td><strong>Reports:</strong> Creating hard fact reporting to comply with, e.g., GRPI guidelines</td>
<td><strong>Emotions:</strong> Providing volunteer opportunities for managers to personally experience CSR strategies implemented in the field</td>
</tr>
<tr>
<td><strong>Position power:</strong> ordering and controlling, e.g., the completion of compliance trainings</td>
<td><strong>Persuasion power:</strong> promoting the benefits of CSR to get buy-in and commitment, e.g. in leadership meetings</td>
</tr>
<tr>
<td><strong>Problem solving:</strong> To reactively clean up, e.g., an environmental mess the company has created</td>
<td><strong>Possibility thinking:</strong> To proactively and in partnership look for new CSR approaches, e.g., with external stakeholders, to be able to hold the tension between two poles (profit making and sustainability= paradox management)</td>
</tr>
<tr>
<td><strong>Pressure:</strong> Have consequences follow for disregarding CSR values and principles</td>
<td><strong>Purpose:</strong> Stoke the internal fire of people for CSR by showing what is in for them</td>
</tr>
<tr>
<td><strong>Written communications:</strong> Producing CSR material and documentation, describing a status quo</td>
<td><strong>Verbal communications:</strong> Creating space in e.g., internal leadership programs to foster a CSR dialogue among people, generating jointly new CSR approaches within an outside the company</td>
</tr>
<tr>
<td><strong>Order:</strong> Telling people what CSR KPIs they have to fulfill.</td>
<td><strong>Participation:</strong> Engaging people in dialogue what CSR KPIs the company should set for themselves to be lead the CSR conversation in the corporate world</td>
</tr>
<tr>
<td><strong>Standardization:</strong> Making sure CSR processes, principles and values are rolled across business units and regions</td>
<td><strong>Innovation:</strong> Allowing local and regional units to create and contribute to innovative CSR approaches</td>
</tr>
</tbody>
</table>

*Source: Annette Thum*
The examples for the dichotomy of managing vs. leading (as shown in the above table), give the impression, that CSR management and CSR leadership are equally distributed. Archie B. Carroll (Carroll 2003) however noted, that there is a lot of CSR management in today’s world, but no real CSR leadership. I can second that and, as my personal belief and experience from being an executive for over 15 years is that managing and leading should not be seen as an either/or decision for a company leader but as a both/and one. However, when climbing the hierarchical ladder, clearly more leadership activities are required.

Also in the 1970s Robert Greenleaf (1977) introduced his concept of servant leadership and was definitely ahead of his time, as all the other more ethically and CSR related leadership concepts have come into being since 1995. Greenleaf, a former leadership development manager for AT&T, had become increasingly irritated with the authoritarian leadership style of US businesses and felt that it was time for a paradigm shift in leading. Greenleaf was inspired and excited about the idea of the leader being the servant and writes in his essay:

The servant-leader is servant first... It begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings one to aspire to lead. That person is sharply different from one who is leader first, perhaps because of the need to assuage an unusual power drive or to acquire material possessions... The leader-first and the servant-first are two extreme types. Between them there are shadings and blends that are part of the infinite variety of human nature. The difference manifests itself in the care taken by the servant-first to make sure that other people's highest priority needs are being served. The best test, and difficult to administer, is: Do those served grow as persons? Do they, while being served, become healthier, wiser, freer, more autonomous, more likely themselves to become servants? And, what is the effect on the least privileged in society? Will they benefit or at least not be further deprived? (Greenleaf 1977, 7–8)

With Greenleaf, the leadership literature saw for the first time a more ethical and sustainable focused leadership approach with more to follow as described in the following paragraphs. I will distinguish the theories and explain my view on its connection to CSR leadership.

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101 Greenleaf himself got inspired to the concept by Herman Hesse’s book, “Journey to the East” where a group of men are on a mythical journey. They are accompanied by the “Servant” Leo, a man of great presence and spirit, and the moment Leo disappears from the group, the group falls apart.
6.4 Recent leadership theories and CSR (1995–today)

A broad array of leadership theories using explicit terminology connected with CSR has emerged mainly since 1995. Many relevant terms were and are discussed: *ethical leadership* (Palmer 2015; Eisenbeiß and Gießner 2012; Bass and Steidlmeier 1999; Brown, Treviño and Harrison 2005; Kanungo and Mendonca 1996; Manz and Sims 1995; Treviño and Brown 2004; Treviño, Hartman and Brown 2000; Treviño and Nelson 2007), *moral leadership* (Gini 1998; Rhode 2006; Sucher 2008), *responsible leadership* (Useem 2005; Maak 2008; Maak and Pless 2006; Doh and Stumpf 2005a) or *sustainable leadership* (Hargreaves and Fink 2006).

Also, *authentic leadership* (Avolio and Gardner 2005; Walumbwa et al. 2007), *mindful leadership* (Marturano 2014; Dickmann and Stanford-Blair 2009; Kabat-Zinn 2005; Langer 1994), *charismatic leadership* (Conger and Kanungo 1998), *spiritual leadership* (Fry 2003) and finally also *CSR Leadership* (Cavico 2009; D’Amato et al. 2009) can be seen as related and explicit concepts leading to CSR and leadership. These theories and their genesis I will discuss in more detail.

My attempt is not to define each of the leadership theories in great detail, but to show how many variances of leadership theories have been and are developing. Avolio and Gardner (2005, 323) describe “the positive moral perspective” as the common denominator of all the theories.102 This positive moral perspective is what connects them to CSR leadership or CSR leadership to them.

6.4.1 My perspective on the development of recent leadership theories

Let me first share, why I believe these leadership theories have been developing: Leadership theories in the 1990s and the first decade of the 2000s reacted to and reflected the rise of multiculturalism and globalization as well as the Internet and social media, which among other factors, led to a realignment and reconsolidation of economic and political powers across the world and within countries.

Two major economic crises, the dot-com bubble with its crash in 2001 and the banking crisis with its stock market crash in 2008, now sometimes deemed the “era of greed,” (Rhode 2012) led to a growing distrust of the financial markets as well as governments. In addition, ethnic conflicts emerged in Africa, Eastern Europe and the Middle East, making the world a more chaotic and unstable place.

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102 Aviolo and Gardner do not list mindful leadership, yet reading Janice Marturano’s (2014) definition, I can safely say, that the positive moral perspective is included as well.
Thus, it was no surprise to see rise of the term VUCA (Bennet and Lemoine 2014) - VUCA is the abbreviation for “Volatile, Uncertain, Complex and Ambiguous” - clearly a challenging environment for any leadership. In this “greedy” VUCA environment, the need for a new breed of leaders has emerged: leaders who are able to handle global complexity and uncertainty, who can manage the tensions of seemingly paradoxical situations such as making profit and following an ethical code; leaders who are able to build trust and alliances across organizational and national boundaries to help solving big societal issues.

In the next two sub-chapters I will explain the leadership theories that were arising in the above mentioned global context.

6.4.2 Ethical, moral, responsible and sustainable leadership

**Ethical and moral leadership** have as a common ground the focus on “deeper” values that should guide the decision making of executives. Manz and Sims (1995) elaborated in their study four shared strategic values of a successful ethical leadership within an organization. These four values are: a) to act with integrity, b) to be fair, c) to have fun, and d) to be socially responsible (Manz and Sims 1995, 15).

The challenge is to determine what is “fair”? A solution proposed by the authors includes asking if the roles were reversed with the leader on the receiving end? This goes way back to Confucius’ Golden Rule: “Never impose on others what you would not choose for yourself” (Doh and Stumpf 2005b, 6). They also challenge leaders within organizations to make ethics fun, as this increases organizational moral.

Gini (1998) emphasizes the tensions that occur when a leader tries to implement ethics. The central tension is that any leader is naturally egotistical during decision making and ethics requires him or her to shed that natural tendency. The ethical leader must also take into account external consequences when making decisions. Useem (2005) argues that ethical decisions will be the ones that minimize harm and maximize the outcome for all and that ethical decision making is an art and a science at the same time. 103

*My view:* For these ethical and moral leadership theories “ethics” and “morale” are the sole guiding factors, whereas in my personal opinion “CSR leadership” is dominated by balancing the aims of creating profit *and* following principles of ethics and morality. Due to this tension,

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103 There are five criteria according to Useem, which foster ethical decision making: Thinking like a president meaning on a level higher, calculating deliberately, acting decisively, bringing self-confidence without overconfidence and relying upon the team (Useem 2005, 71-86).
On CSR Leadership – only a vision, a hope?

CSR leadership has a risk of being hypocritical. If leaders are mainly or simply (ab)using CSR as a business case for more profits or simply for reputational branding, it can contradict the promotion of the common good. “Green-Washing” and window-dressing can occur, and the “win-win semantics” can become a farce when large segments of society are excluded or find out about the true intentions.

**Responsible Leadership** is quite similar to the terms ethical and moral leadership: A responsible leader can see himself as a ... “weaver of trusting relationships, a facilitator of stakeholder engagement, and one who balances power by aligning different values to serve both business success and common good” (Maak and Pless 2006).

*My view*: As with the terms “ethical” and “moral,” “responsible” is quite a broad term; almost anything can be subsumed by it. Yet, in my opinion responsible leadership is less loaded with the connotation of good or bad, has less a “morally pointing finger,” and thus it may be a more “neutral” term. Particularly in the corporate environment, responsible leadership is often used interchangeably with CSR leadership. It is also my assumption that the well-known Globally Responsible Leadership Initiative (GRLI)\(^{104}\) chooses the term “responsible” over the term “ethical or moral” for the above-mentioned reasons.

**Sustainable Leadership** is also often synonymously used to CSR leadership. A famous representative for the theory of sustainable leadership is Andy Hargreaves with his “seven principles of sustainability” (Hargreaves and Fink 2006), highlighting also the need for short- and long-term thinking\(^{105}\).

Visser and Courtice (2011) from the Cambridge Leadership Institute also speak about Sustainability Leadership. In addition to the temporal aspect, they offer a more systemic overview in their model, describing the connectedness of the leadership context, the individual leader’s traits, styles, skills and knowledge as well as leadership actions that foster sustainability.

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\(^{104}\) [http://www.grli.org/about/history/](http://www.grli.org/about/history/), accessed October 6, 2015. GRLI is a pioneering group of 50 business schools, learning institutions and companies co-founded in 2004 by United Nations Global Compact and the European Foundation for Management Development (EFMD) to engage in developing a next generation of globally responsible leaders.

\(^{105}\) Hargreaves suggests: for being a sustainable leader you need to focus on: 1. Depth (learning organizations), 2. Length (acting with both long- and short-term goals in mind, especially in terms of succession), 3. Breadth (collaborating instead of competing), 4. Justice (leadership that accounts for the bigger picture rather than one small piece of the pie), 5. Diversity (equilibrium equals death in a living system), 6. Resourcefulness (using resources and energy—both human and traditional—so they are not depleted), 7. Conservation (preserving purpose and organizational wisdom to learn)
**Fig. 33: Cambridge Sustainability Leadership Model**

<table>
<thead>
<tr>
<th>Leadership context</th>
<th>Individual leader</th>
<th>Leadership actions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>EXTERNAL</strong></td>
<td><strong>TRATS</strong></td>
<td><strong>INTERNAL</strong></td>
</tr>
<tr>
<td>Ecological</td>
<td>Caring/moral/duty</td>
<td>Informed decisions</td>
</tr>
<tr>
<td>Economic</td>
<td>driven</td>
<td>Strategic direction</td>
</tr>
<tr>
<td>Political</td>
<td>Systemic/holistic</td>
<td>Management incentives</td>
</tr>
<tr>
<td>Cultural</td>
<td>thinker</td>
<td>Performance accountability</td>
</tr>
<tr>
<td>Community</td>
<td>Enquiring/open-minded</td>
<td>People empowerment</td>
</tr>
<tr>
<td><strong>INTERNAL</strong></td>
<td>Self-aware/empathetic</td>
<td>Learning &amp; innovation</td>
</tr>
<tr>
<td>Sector/industry</td>
<td>Visionary</td>
<td>EXTERNAL</td>
</tr>
<tr>
<td>Organisationalreach</td>
<td>Creative</td>
<td>Cross-sector partnerships</td>
</tr>
<tr>
<td>Organisationalculture</td>
<td>Altrusitic</td>
<td>Sustainable products/services</td>
</tr>
<tr>
<td>Governance structure</td>
<td>Radical</td>
<td>Sustainability awareness</td>
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<tr>
<td>Leadership role</td>
<td>SKILLS</td>
<td>Context transformation</td>
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<td></td>
<td>Manage complexity</td>
<td>Stakeholder transparency</td>
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<td></td>
<td>Communicate vision</td>
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<tr>
<td></td>
<td>Exercise judgement</td>
<td></td>
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<tr>
<td></td>
<td>Challenge &amp; innovate</td>
<td></td>
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<tr>
<td></td>
<td>Think long term</td>
<td></td>
</tr>
<tr>
<td><strong>KNOWLEDGE</strong></td>
<td></td>
<td></td>
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<tr>
<td>Global challenges/dilemmas</td>
<td></td>
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<tr>
<td>Interdisciplinary connections</td>
<td></td>
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<tr>
<td>Change dynamics/options</td>
<td></td>
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<tr>
<td>Organisational influences/impacts</td>
<td></td>
<td></td>
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<tr>
<td>Diverse stakeholder views</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Source: Visser and Courtice (2011, 4)*

**My View:** “Sustainability” brings a new perspective into the scope of definitions and theories by addressing the aspect of time in the literal meaning of the word “to sustain.” Sustainable leadership takes into account and tries to anticipate the consequences of decisions. During my expatriate time in Portland, Oregon, I remember talking to a Native American tribal leader who shared with me the seven-generation sustainability of the Iroquois, meaning all decisions should be taken preserving a livable planet for the seventh generation to follow.

To sum up: none of the described leadership theories contradict CSR leadership at all. They rather overlap and complement each other and are sometimes used synonymously. So do the following leadership theories: authentic, mindful, spiritual, and charismatic, which will be referred to in the next paragraphs. I did take them separately, because in my opinion they focus more on the individual leader and his/her behaviors, which is equally important to the more systemic/holistic approach.
6.4.3 Authentic, mindful, spiritual and charismatic leadership

The concept of Authentic Leadership is defined by Walumbwa et. al. (2007, 94) as... “a pattern of leader behavior that draws upon and promotes both positive psychological capacities and a positive ethical climate, to foster greater self-awareness, an internalized moral perspective, balanced processing of information, and relational transparency on the part of leaders working with followers, fostering positive self-development....”

Also mindful leadership based on Kabat-Zinn’s research work has gained traction in the business world. For Kabat-Zinn (2015, 31) “mindfulness is the process of deliberately paying attention to the present moment in a nonjudgmental way.” Mindful leaders thus need to embody a leadership presence by cultivating focus, clarity, creativity, and compassion in the service of others as Janice Marturano (2014) elaborates who has been promoting mindful leadership in the last years.

Mindful leadership has a close connection to spiritual leadership which Louis Fry defines as “to create a vision and value congruence across the strategic, empowered team, and individual levels and, ultimately, to foster higher levels of organizational commitment and productivity” (Fry 2003, 693). Similar to Marturano, Fry (2003, 704-705) summarizes in his article on spiritual leadership that being in the moment and living spiritual practices would “…help in the continual quest for personal leadership and professional development and effectiveness”.

Last but not least Charismatic leadership in Conger’s and Kanungo’s (1998) theory means articulating an innovative strategic vision, showing sensitivity to member needs, displaying unconventional behavior, taking personal risks and showing sensitivity to the environment which connects back to CSR and triple bottom line of profit, people and planet (see chapter 4.1).

My view: In many leadership courses in the business world, the above mentioned theories have been practically applied (see executive courses of Harvard, Duke, INSEAD and others). For example, in global courses that I lead for big multi-national firms, Kevin Cashman’s book Leadership from the inside out (Cashman 2008) has had great success among leaders because it offers a self-awareness journey with very practical advices and great reflection questions. It focuses on the ethical climate as well and includes the notion of an internalized moral perspective – this is where the connection to CSR can be made. The fact that in 2013 and 2014 Marturano was invited to speak at the World Economic Forum\textsuperscript{106} to the concept of mindfulness shows that there is a sense, a longing in the corporate world for a different style of

\textsuperscript{106} Janice Maturano youtube clip: https://www.youtube.com/watch?v=v0CNZLiqlqw, accessed in September 2015
leadership, even though the practical reality with the many business scandals can leave one skeptical and sometimes pessimistic.

6.4.4 Conclusion on leadership theories

The issue with all of the above-mentioned leadership theories is that each of them lacks a commonly agreed upon definition “which makes empirical research or comparison to other leadership theories difficult, if not impossible” (Doh and Stumpf 2005b, 9). Most of the above mentioned theories include connected skills and behaviors, some of them overlapping, others do not. Brown and Trevino (2006, 598), for example, attempt to compare authentic, spiritual and transformation leadership, with the hope to bring more clarity.

My personal experience as an executive in the corporate world is that for many leaders and managers the variety of different leadership theories is often too abstract thus irrelevant for the business world. As Michael Rumsey (2013, 456) states: “…the practical leadership world has stayed relatively untouched or unimpressed by the tremendous research that has been done in the academic world.” I second this statement because my observation from being in the field of leadership development and training for twenty years now is that the theoretical work can be helpful. It is helpful in so far as it translates into a business-like language that provokes and stimulates new thinking and dialogue or creates new tools that can then be applied for personal or communal growth. If this does not apply, there is a high risk of two parallel universes, academia and business, just co-existing. A demand for an applicable and practical theory is obvious.

If I would have to put it in a nutshell: All of the above-mentioned leadership theories are united by the fact that they aim for more than just profit maximization and go for envisioning the greater good with the help of ongoing conversation and dialogue to enhance self-awareness and active community building.
6.5 CSR Leadership – the term and its meaning

Turning now towards CSR leadership as an explicit term, I would dare to say that it includes most of the above-mentioned approaches, yet with the particular focus on leaders in a corporate environment.

6.5.1 Literature overview and definition

Literature on CSR leadership has grown immensely, yet compared to other CSR topics it is still rather thin as Ellen van Velsor (2009) and Robert Strand (2011) elaborate. More papers exist on the so-called hard fact areas of CSR such as business case and strategy (McWilliams, Siegel and Wright 2006) or key performance indicators (Caspary 2009; Székely and Knirsch 2005), but fewer on CSR leadership and even less on the motivation for it. A helpful annotated bibliography on CSR leadership was created by Allesia d’Amato et al. (2009), who gives a profound overview of academic research on CSR and leadership; so does Robert Strand’s article (2011), which reviews the specific connection between CSR and leadership as well.

Most of the academic research is more normative in nature (Hansen and Reichwald 2009; Smith and Rayment 2010; Waldman and Siegel 2008; or Waldman, Siegel and Javidan 2004) and less empirical. If empirical, then results are hard to compare because they operate with no common assumptions. I mostly found studies that followed qualitative approaches (Visser and Courtice 2011; Kakabadse, Kakabadse and Lee-Davies 2009; Quinn and Dalton 2009), often focusing on one company (Lehmann et al. 2010; Cullens and Waters 2013; Hargett and Williams 2009; Jones and Kramar 2010). Quantitative, long-term research is the exception (Waldman et al. 2006). If there is any applied research, it is often produced by consulting firms or governmental organizations, such as an elaborated training set from the EU.

For a definition of CSR leadership I refer to the one offered by Basu and Palazzo (2008, 130). Basu and Pallazo are the only authors who explicitly state that CSR leadership is a model of sense making, which aligns nicely with Social Construction thinking. Their definition states:

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107 I mainly focused my search on academic articles of the last twenty years.

108 See also: “CSR Impact – From CSR to CIAM: Corporate Impact Assessment and Management a publication under the IMPACT project funded by the European Community’s Seventh Framework Programme FP7/2007-2013 under grant agreement n 24461.

109 „What is CSR” – Training material produced by the project ”InnoTrain CSR“ that is organized by GILDE GmbH and has been funded with support from the European Commission. This publication reflects the views only of the author, and the Commission cannot be held responsible for any use which may be made of the information contained therein. 12/2010, accessed June 2014 http://www.csrinternational.org/training/eu-training-on-csr/
“CSR leadership is the process by which managers within an organization think about and discuss relationships to stakeholders as well as their roles in relation to the common good, along with their behavioral disposition with respect to the fulfillment and achievement of these.”

Basu and Pallazo (2008) are also the only ones who turn their attention to the linguistic side of CSR leadership next to focusing on cognition, behavior and mindset. They point out that some companies tend to use an economic, legal or scientific way to talk about CSR. They also argue that companies often use this language to justify actions, but not as an invitation to start or continue a dialogue. And dialogue is essential not only for CSR leadership to create motion.

Specific research on CSR leadership in South Africa exists to an even lesser extent; its most prominent representatives are the university professors Ralph Hamann (2004), well-known for his research on mining and CSR in South Africa; Arnold Smit (2013), who focuses on business ethics and leadership; and Wayne Visser (2007, 2010, 2011, 2015), who has written numerous book on the global and South African development of CSR in general. The South African CSR leadership is strongly defined through its context (see chapter 5), which means leaders in South Africa are driven by external regulation (BBBEE and Kings Code) to adhere to respective standards. South African CSR leadership is also known for its philanthropic strengths and “spirit of giving” as shown in Fig. 27.

6.5.2 My questions for leaders to stimulate CSR leadership

From my experience over the last 15 years in international leadership courses, I often ask the question: “So leadership - ok, yes - but what for? A leader can lead for more innovation, for more diversity, for more revenue, for more CSR etc.. What do you want your leadership to lead towards and to? What do you want your leadership to generate?” I developed the following set of questions to trigger the class participants’ thinking around CSR leadership. Working with those questions, there are different ways to put CSR leadership into more practical perspectives and to open up opportunities for implementation:

- What CSR contents do I want to focus on? – Do I as a CSR leader want to engage in topics that focus more on social activities (e.g. schooling, health) or on ecological activities, (e.g. water consumption, forest protection) or on economical issues (e.g. how to strengthen suppliers or social entrepreneurs)? Often these decisions depend on the core business of the company or on the personal interest of a CEO.
• What **time frame** am I looking at? – Do I want to see short, middle and/or long-term success?
• What **quality level** of CSR do I want to promote? Is it enough for me to reach compliance? Do I want commitment or involvement or am I going to be a co-creator in the field of CSR?
• What **perspective** should my CSR activities focus on? Do I have a more external view with philanthropic charitable activities and/or an internal view with e.g. the goal to optimize the value chain along sustainable criteria?
• What **organization level** do I want to focus on: Do I want to inspire the individual employee? Am I triggering team or department activities, or am I planning to involve the whole organization?
• Whom specifically do I want to engage with in a CSR **conversation**? Will I focus on my CSR managers to start with? Am I selecting a certain NGO? Do I plan to engage with the respective governmental bodies?
• What **learning priorities** do I want to set? Is it important for me to focus on CSR mindsets, behaviors, skills, competencies or motivation and how do I want to train and inspire them?

In my experience, asking and answering these questions is a very helpful instrument to make CSR leadership work. All those questions help leaders to get a better understanding and clarity about their CSR leadership. By looking at the set of questions, it becomes obvious, that many of them focus on leadership behaviors, which I am now going to discuss.

### 6.5.3 Studies on CSR leadership behaviors

There is research on CSR leadership behaviors (Den Hartog and De Hoogh 2009; Kakabadse, Kakabadse and Lee-Davies 2009; D’Amato et.al. 2010; Wilson, Lenssen and Hind 2006) as well as on skills and competencies (Jones Christensen, Mackey and Whetten 2014). My aim is to show the spread of identified CSR behaviors and competencies that have been identified so far. Therefore, I will discuss the three profound studies on CSR leadership behaviors.

D’Amato et al. (2010) presents a broad comparative case study on leadership behaviors for corporate global responsibility. The authors identified various leadership practices that help companies successfully implement CSR in their business operations worldwide. By interviewing 54 managers from five companies in semi-structured interviews, eight main practices were identified:
• Acting with integrity
• Developing a global CSR vision and strategy
• Integrating CSR with business decisions and operations
• Top management role modeling
• Systematic communication
• Engaging across boundaries
• Employee development & empowerment and
• Developing accountability

These CSR behaviors appear to be almost identical to change management practices. For a profound discussion on change management practices see e.g. Kotter (2012), Senge (1999) or Carucci and Pasmore (2002). The overlap is not surprising, as leading for CSR means to a certain extent leading change towards CSR.

The second important research paper on “Leadership Qualities and Management Competencies for Corporate Responsibility” (Wilson, Lenssen and Hind 2006) conducted by the Ashridge Business School and the European Academy of Business in Society applied a broad range of quantitative and qualitative research methods with 100 managers to define important attributes/behaviors for CSR leadership. A set of in-depth interviews with different senior executive from different companies identified leadership qualities, management skills and reflexive abilities as follows:

• Systems thinking
• Embracing diversity
• Managing risk
• Balancing global and local perspectives
• Emotional awareness
• Meaningful dialogue and developing a new language.

The last point is particularly important from a Social Construction perspective: A meaningful dialogue and language defines what kind of “CSR narrative” is created in an organization – and many questions can be asked: What are the CSR stories that are spread throughout the organization? Are they encouraging, exciting, personal? Or, is the talk more about cumbersome reporting pressure and KPIs that need to be delivered? Does the CSR narrative influence the broader company culture or is it kept in a single department? Is the CSR narrative co-existing, meaning is it only tolerated as long as it is not disturbing or influencing the broader culture?
For all leaders as well as for the CSR department these are important questions to reflect on – and the quality of dialogue around these questions gives a good impression on where the organization stands in terms of CSR practices.

The third study for CSR leadership, conducted by Prof. Arnold Smit from the Centre for Business in Society at the Stellenbosch Business School, Bellville in South Africa also suggests a variety of moral competencies for business ethics that are shown in the list in Fig. 34 below (Smit 2013).

Even though the list from Smit is not specifically labeled under CSR leadership behavior and it is for business students and not executives, I decided to include it, because it is important to see that in (South African) business schools the issue of CSR leadership is already part of the curricula. However, it appears problematic that the listed competencies are quite broad and general and may leave applicability and transfer to real life CSR leadership difficult.

To conclude

The above findings on CSR leadership and its behaviors appear to be at first sight quite common sense. It is, however, important to be explicit in defining them, so that leaders do know how to bring CSR forward\(^\text{110}\). It is to note that academic research has not yet provided a consistent definition on CSR leadership or on general behaviors as they hardly overlap. Common, however, to all studies seem to me the attempt to support and enhance a leadership where “leader asks followers to transcend their own self-interests for the good of the group, organization, or society; to con-

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\(^\text{110}\) It would be great to translate this knowledge more and more to leadership training and to business schools etc. Some encouraging examples exist with the Aspen Institute Offerings http://www.aspeninstitute.org/leadership-programs-top, the ELIAS Program from MIT https://www.presencing.com/elias or Fred Kiel’s approach: „Return on Character“ - for further info, he recently released a book and a Harvard Business Review article: „Return on Character“. https://hbr.org/product/return-on-character-the-real-reason-leaders-and-their-companies-win/16899-HBK-ENG
sider their longer-term needs to develop themselves, rather than their needs of the moment; and to become more aware of what is really important. Hence, followers are converted into leaders.” Bass (1990, 53). If this takes place, CSR could turn into a positive virus that would help to transform a company.

I still have hope that more corporate conversations will be led by leaders on CSR with their colleagues, that more leaders become interested in learning and understanding how CSR can benefit the corporation and the greater good, how they can ask themselves more challenging questions and act – also in tough times – as CSR role models for others.

When I speak with leaders one on one, I often sense this longing for a more meaningful professional life, a life that is not only about revenues and profit and making shareholders happy. One interview partner said to me, “you know, it is not only about chasing the numbers, but often I loose faith in my conviction that we could serve a greater good”. Which triggers me to ask, what could be done together to keep this conviction up and burning?

In business practice, there is still a gap between knowing about and executing CSR leadership: If we know what to do, why are we not doing it? Certainly there may be various reasons – from economical to cultural to psychological/motivational reasons – for not putting common sense into common practice. Through the conversation with David Powels, the CEO of an automotive company in South Africa, I became particularly interested to explore the motivational aspects for CSR leadership further. My “aha moment” – described in chapter 3 – was triggered through his comment, “We know most of what to do, but I have to admit, I don’t put it enough into my daily focus. This conversation, however, inspired me to do this again.” – The question of inspiration and motivation for CSR leadership became the core focus of my inquiry.
“Leadership is motivation – Management is Control”
L.W. Frey (2003, 698)

7 On Motivation Theories and CSR

My inquiry focus (see chapter 3) is on the individual leader’s motivation: what motivates him or her in his leadership to drive CSR in their organization and beyond? In addition, I would like to find out, what these leaders would enjoy reading in my planned motivation booklet on CSR. For some leaders, motivation for CSR may be just continuing and reinforcing what they are doing already, for others it may initiate an attitude change (Petty and Duane, 1998) towards practicing CSR.

To begin this chapter I will give an overview of the existing literature around this topic. I then want to review concepts/definitions of motivations because these concepts may be of help for a later comparison to the answers of my interview partners. In addition, I want to explore motivation in the context of social construction.

7.1 Overview of research on motivation and CSR

The research on motivation and CSR is considerably smaller compared to the research on CSR and leadership. I searched mainly articles from the last 20 years, specifically on CSR and individual motivation, not claiming completeness. Motivation in these articles is often not clearly defined and sometimes other words are used like “thinking patterns” (Ulrich and Thielmann 1993), “drivers” (Muller and Kolk 2010) or “reasons” (Bronn and Vidaver-Cohen 2009). I considered these articles as well, because their research has a similar aim: to identify what brings leaders to drive CSR into their organizations and beyond. Later on in this chapter, I will focus more on the definition and changing concepts of motivation itself, but now will turn to analyzing the literature on motivation and CSR first.

Motivational drivers for CSR are often described differently: Aruguiera et al. (2007) offer three CSR motives in their holistic article: 1) instrumental (need for control), 2) relational (need for belonging) and 3) moral (as a need for meaningful existence). Graafland and Mazereeuw-Van der Duijn Schouten (2012) also distinguish three motives: one motive being extrinsic (financial) and two motives being intrinsic (ethical and altruistic). With an online survey answered by 473 Dutch executives, they found that, depending on the CSR topic (social, environmental or financial CSR),
motives of the leaders can be either intrinsic – as for social and environmental CSR – or extrinsic – as for financially related CSR topics.

Ditlev-Simeonsen and Midttun (2008, 26) developed a longer list of motives:

1. Profit maxim: solely to increase profit
2. Value maxim: to create long-term value for shareholders
3. Stakeholdership: to satisfy different stakeholders
4. Cluster-building: to build a strong cluster to provide a favorable business context for the company
5. Branding: to build a positive reputation and brand image
6. Innovation: to develop new products and business concepts
7. Copying/imitating: to resemble other companies
8. Ethics/morals: to do the ‘right thing’ (a moral issue)
9. Managerial discretion: to fulfill the personal preferences and interests of the manager or person in charge of CR
10. Sustainability: to contribute to long-term sustainable development

These ten motives were then tested in Norway with corporate leaders, NGO employees and students. First, they asked which of the above motives should ideally drive leaders. Secondly, they asked which of the ten motives actually motivated leaders. They call this distinction “should be motives” and “as is motives.” They found that, among all stakeholder groups, sustainability and ethics are the dominant “should be motives,” whereas the brand image aspect of CSR is the dominant “as is motive.”

Instead of trying to identify a complete set of motives, some researchers choose only one CSR motivational driver. McGuire, Dow and Argheyd (2003), for example, analyzed and tested the connection of CEO incentives to a higher social performance of the company. However, they were not able to prove that higher incentives lead to a higher “social performance output.” In an empirical study with business students, on the other hand, Angelidis and Ibrahim (2004) were able to confirm that religiously oriented people are more likely to support CSR topics.

While the empirical research is mostly focused on a single country, e.g., Switzerland (Ulrich and Thielmann 1993), Hongkong (Welford, Chan and Man 2008), Norway (Ditlev-Simonsen and Midttun 2011) as described above.

Some researchers also come more from a normative/theoretical angle (e.g., Hemingway and MacLagan 2004; Aguilera, Rupp, Williams and Ganapathi 2007) or a descriptive/empirical angle (e.g., Ulrich and Thielmann 1993, Welford, Chan and Man 2008, Van de Ven and Graafland 2006, Graafland and Mazereeuw-Van der Duijn Schouten 2012) or sometimes from both sides in comparison (Ditlev-Simonsen and Midttun 2011) as described above.
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7

On Motivation Theories and CSR

The Netherlands (Van de Ven and Graafland 2006) or Sweden (Miji 2011), I could not find specific papers about CSR motivation in South Africa nor any cross-cultural research.

It is also interesting to note that the empirical research considers different target groups: some consider executives only (Van de Ven and Graafland 2006; Graafland and Mazereeuw-Van der Duijn Schouten 2012), some focus on business students (Angelidis and Ibrahim 2004), some are carried out across stakeholders (Welford, Chan and Man 2008) (Ditlev-Simonsen and Midttun 2011), some across firm levels (Treviño, Weaver and Brown 2008). Some papers only approach the topic from a consumer perspective (Basil and Weber 2006).

Ditlev-Simsen and Midttun (2011) compared their results on different stakeholder motives in more detail with Welford et al. (2008). Welford et al. found that the motives for CSR differ among different stakeholders. However, Ditlev-Simsen and Midttun (2011) showed that among their stakeholder groups the ranking of the CSR motives stayed the same.

Most articles find that extrinsic motives are more significant than intrinsic ones: Lougee and Wallace (2008) conclude the main CSR motive is external risk reduction. Miji (2011) also sees risk management, brand reputation and receiving capital from investors as the more extrinsic driving forces. In their studies of 500 Norwegian firms, Bronn and Vidaver-Cohen (2009) also found that the answers mainly support extrinsic motives, even though moral leadership was mentioned as an intrinsic motive as well.

On the other hand, Van de Ven and Graafland (2006) as well as Graafland and Mazereeuw-Van der Duijn Schouten (2012) show that intrinsic (such as ethical and altruistic) motives have a stronger influence on CSR action than extrinsic ones. This point is supported by Galaskiewicz and Colman (2006), who found in their literature review that managers have an intrinsic motivation to contribute to a better future for society.

Obviously, there are contradictory approaches and empirical research findings on motivation for CSR. Lastly, a theoretical paper by Hemingway and MacLagan (2004) considered different motives/values for CSR, and elaborates on the differentiation between the corporation’s values and the values of the leader as an individual. Their intent is to remind us that the individual leader can, indeed, make a difference and to counter a tendency to view the corporation as the agent.

This leads back to my inquiry journey on CSR motives of the leader as an individual and I refer back to chapter 3 for the exact method, approach and results. Now I will give a deeper description of concepts about and definitions of motivation so that the analysis of the results in chapter 3 is put into context.
7.2 Motivational concepts

When I wrote this chapter, I was often reflecting about my own motivation cycles in writing and finishing this PhD. There were moments when I felt stuck and bogged down in the amount of detail. At one point, this led me to sit down with a big flipchart paper and draw a visual asking me some key questions: What do I want to generate? What am I curious about and what motivates me?

As you can see in the pictures below, the heart of my work resembles the interviews on motivation for CSR leadership plus their outcome for the CSR booklet. Regaining this clarity and reconnecting with my passion helped me to move on.

Fig. 35: Photographs of flipchart on my core motivation for the PhD

Source: Annette Thum
7.2.1 Definitions of motivation

As mentioned above the literature in connection with CSR and motivation often does not define motivation. In searching for a definition, De Charms made me smile for a second: “Motivation is a little like a mild form of obsession” (De Charms, 1979).  

What appeals to me in this definition is the implicit play with the usual positive connotation of motivation. It emphasizes that motivation or passion might be taken too far: A potential blind sidedness may occur; a missionary touch may be an inherent danger, turning motivation into an addiction. Thus, motivation in itself can have various connotations. This might also apply to the motivation of leaders to implement CSR.

The understanding of the concept of motivation has changed over time: From the more static motivation models (e.g., Maslow 2013; McClelland 2009) to the more dynamic models (e.g., by Heckhausen and Heckhausen 2006; Rheinberg and Vollmeyer 2012). Motivation, today, is seen as a process in itself and not only based on a static motive that initiates action. I will discuss the different models but now will give a definition on motivation.

One of the most current definitions of “motivation” was developed by Rheinberg and Vollmeyer (2012) in their book called Motivation. It states that motivation is “the targeted mobilization of a current life activity towards a positively valued goal” (Rheinberg and Vollmeyer 2012, 16).

In this definition, one notices the dynamic aspect that I think reflects the active notion of CSR motivation as well, because CSR motivation in itself is not only a one-time decision but also a dynamic process.

In the following, I will refer to the general research on motivation, to intrinsic versus extrinsic motivation as well as to motivation content and process models looking through the lens of CSR. Furthermore, I will reflect on motivation in connection with morality, neuroscience and Social Construction.

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7.2.2 Intrinsic vs. extrinsic motivation

Edward L. Deci, Professor of Psychology at the University of Rochester, was curious to see, what free choice activities people are motivated to do when giving space to act and behave without any external control or expectations (Ryan and Deci 2000). This motivation to act is called intrinsic, a motivation coming from “within oneself.” From within can mean either from an inner cognitive or emotional stimulus, or from an inner expectation (ibid.). The other type of motivation is called extrinsic, meaning either coming from an external positive reinforcement, an incentive or from a negative reinforcement, a threat or a force (Swanson 2008).

If leaders are intrinsically motivated for CSR, e.g. if they are showing CSR engagement even in their free time are they also more likely to implement CSR at work? On the other hand, there might be leaders who have no intrinsic interest for CSR, yet are mainly driven through extrinsic motivation, such as bonuses or pressure from external groups or internal boards.

A further interesting phenomenon that Frey (1997) as well as Ledford, Gerhart and Fang (2013) found is that in most times continued positive extrinsic motivation undermines intrinsic motivation. This phenomenon, which is in science described as motivation crowding theory (Frey and Jegen 2001) and I also observed, has to be divided into several phases: At first, a leader volunteers for a CSR project without any incentive. The company appreciates his activities and starts to incentivize him with a bonus payment, as a form of extrinsic motivation. After a while, the company withdraws the bonus for whatever reason. This is the moment when the leader will show less intrinsic motivation than before to engage in his CSR activities. As Pink (2011) argues, often external incentives do not work in the long run to motivate people but even start undermining voluntary performance. For my inquiry on CSR leadership motivation, we can derive from this discussion, that bonus payments and any other form of extrinsic motivation might be problematic. Therefore, intrinsic motivation might be a more valuable approach.

However, the distinction between intrinsic and extrinsic motivation – by the perspective of Social Construction – is as anything else not substantive, it is not “just here,” not before we make it. From a Social Construction perspective, neither intrinsic nor extrinsic is good or bad, it simply leads to different conversations and different discourses in behavior and action. We can say, phenomena like “motivation” are emerging and we are observing and responding to them.

Continuing now with motivation models, I like to differentiate between content-oriented and process-oriented motivation models:
7.3 Motivation as content

The content-oriented definitions of motivation came up with Maslow's (1943, 1987) well-known pyramid from 1943 with its five levels of needs: physiological, safety, love/belonging, esteem and self-actualization.

Also Clayton Paul Alderfer’s ERG model from 1969 understands motivation as content and Alderfer’s overview of motives – existential, relation, growth – is a simplification or better a consolidation of Maslow’s pyramid (Alderfer 1972).

Frederic Herzberg (Herzberg, Mausner, and Snyderman 1993), another representative of classical motivation models had with his two-factor theory a big influence in the business world: His research led to the definition of hygienic factors and motivators. – Hygiene factors are context factors such as a fair salary, just company policies etc. When these hygiene factors do not exist they cause dissatisfaction. But when existent, they do not necessarily add to contentment. Motivators are factors directly connected to the job, e.g., fulfilling purposeful tasks, receiving recognition etc. Those motivators are driving the person to better performance and do create satisfaction.

McClelland’s (2010, 2009)\(^\text{113}\) needs approach is also often referred to in the business world. He distinguishes between the need for achievement, affiliation and power.

The different content theories are shown below in Fig. 36 just to give an overview of their main clusters.

\(^{113}\) Originals from 1961/1987
I am curious to see from the interviews in which of these categories the expressed motivation for CSR will fall in. For some leaders CSR may be a hygiene factor, like from younger managers I learned over the years in my leadership classes, that they only would work for an organization that does promote CSR, because otherwise their dissatisfaction would be too high. For others, CSR is a motivator, which gives them additional meaning in their professional life. Some leaders who live and work in crisis regions may see their motivation for CSR more on a physiological & safety level (Maslow) or “existential” level (Alderfer), because they are driven to create a safer and healthier environment. Other leaders may mention more the relational aspect of CSR as their driver (McClelland = Affiliation/Maslow = Social/Alderfer = Relatedness), because by contributing to people’s welfare they feel a closer connection and thus serve their own need for affiliation and relatedness.

In 1989 David McClelland added the aspect of implicit/basal motives and self-attributed motives, which introduces a new aspect to the motive discussion (McClelland, Koestner and Weinberger 1989, 692). McClelland et al. (ibid.) argues that the implicit, basal motives to which he counts “Achievement, Affiliation and Power” are highly connected with emotions because they are rooted in early childhood experiences: an outcome that is connected with one of the basal motives brings more emotional pride and happiness than the fulfillment of self-attributed (“external”) motives which are learned through socialization and expectation pressure, etc.
Ideally basal and self-attributed motives match, because then they trigger the highest engagement and have the most rewarding effect for the individual, which then again is most impactful for a successful implementation of CSR activities (Rheinberg and Vollmeyer 2012).

7.4 Motivation as process

As mentioned before, today’s motivation models are more process oriented. Falco Rheinberg (Rheinberg and Vollmeyer 2012), one of the well-known German researchers on motivation, explains that motivation is a dynamic process: Motivation changes depending on situation and conversation, whereas motives can be considered as more stable – they are the values and drivers behind motivation.

This is an important distinction and connects with a more recent view by Peter Conrad (2007, 3) who sees motivation as “... an individual needs and decision process, always embedded in competing goals.” Conrad emphasizes that motivation is not stable but moving and changing depending on many variables and/or conversations.

7.4.1 Motivation process model

Conrad is also building on the famous motivation process model from Heckhausen and Heckhausen (2006, 7), which sees the person and the situation as a starting point for a motivation process as Fig. 37 below shows.

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114 To the more classical process-oriented motivation models also belong: Victor Vroom and his Expectancy Theory according to which humans act along their conscious expectations that a particular behavior will lead to specific desirable goals as well as the Equity Theory from J. Stacey Adams (1969) which tells us that the more fair we feel treated the more motivated we will feel to act. In the next paragraphs, I will however focus more on the modern ones. See Wikipedia: https://en.wikipedia.org/wiki/Expectancy_theory and https://en.wikipedia.org/wiki/Equity_theory, both accessed January 2016.

115 My translation.

116 An elaborated model is taking into account the person and the situation: “Overview Model to understand the elements of motivated actions” from Heckhausen and Heckhausen (2006, 5) or Conrad (2007, 9)
The actual starting point is the person and the situation. These two combined initiate the following four phases: assessing, planning, acting, and evaluating. Acting then leads to an action and evaluating is assesses two points: the outcome and the consequences.

I am taking now a CSR leader as an example and will go through the model in more detail. Let us say the leader is a purchasing manager in a big automotive organization and has to decide between two suppliers, one more costly but more sustainable, the other cheaper, yet more unclear with their sustainability practices.

Depending on the personality and situation of our example leader, the next step will be different: Let us say our leader is a person with strong personal CSR motives and values and operates in a tough cost-cutting environment. His pre-decision motivation situation influences the starting phase of “assessing”:

If his pre-decision motivation was to buy from the supplier who is more costly but in his eyes more sustainable, he still needs to plan how to sell his decision to the board, how to connect this supplier to others etc. Thus, he has to consider many cognitive options and planning details to manage the tension of making profit and being responsible.

This planning phase, Heckhausen and Heckhausen (2006, 5) explain, has more to do with sheer willpower (volition) to push things through than with motivation. This is why he does not use the term from “motivation after decision” but “volition after decision.”

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**Fig. 37: Motivational and Volitional Activities during a Motivation Dynamic**

![Diagram of Motivational and Volitional Activities during a Motivation Dynamic]

*Source: Model based on (Heckhausen and Heckhausen 2006, 7) and translated by Annette Thum*
Acting also demands a lot of willpower to push things forward despite many hurdles.\footnote{Conrad (2007) also writes that the actual action can be enjoyed on two levels: on a “content level” = the leader enjoys the fact to hire a new more sustainable partner as well as on a “process level” = he enjoys the activity of negotiation with the future supplier and the board.} This means implementing all contract relevant processes (action) leading to an outcome, the signed new contract. This new contract will cause consequences, e.g. a ripple effect to reassess other suppliers or the leader receiving an award, bonus or gratitude.

Whatever it may be in the last phase of assessing the outcome and consequences, the original motivation plays again a bigger role. Depending on the personal motivation, the leader may assess the outcome and consequences as positive, e.g. like receiving an award for a “state of the art CSR contract” or he may dislike it because he hates being the center of attention.

To summarize the motivation process: It starts with the person in a situation that is called the assessing phase considering a certain activity. The moment he or she has decided, the planning and acting/implementing phase starts, which needs willpower (volition). In the evaluating phase, outcome and consequences are assessed against the motivation.

In my inquiry, it will be interesting to see which motivational/volition phases get more or less mentioned in the interviews and if I can derive any conclusions from it?

As stated before, there are not only “moving forward” aspects of motivation but also motives, for example, to stop (CSR) activities. I would like to discuss now these so called “exit models.”

7.4.2 Motivation process exit model

Derived from Rheinberg’s (Rheinberg and Vollmeyer 2012, 132) expectations scheme, which states that motivation depends on what one expects from the situation, the activity, the outcome and the consequence, a CSR leader feels motivated to take CSR oriented actions when the following consequences are fulfilled:

1. The CSR leader needs to be sure that without his CSR action he will not achieve, what he plans to achieve
2. He needs to be sure that he can influence his result enough
3. He needs to know that this result will have consequences and
4. that these consequences are important enough to him.

If one of the four conditions is not fulfilled then he will not act CSR accordingly. Thus four exit reasons can be diagnosed:
7 On Motivation Theories and CSR

1. His CSR action seems not necessary.
2. His CSR action will have no effect.
3. His CSR action will have no consequences or
4. the consequences have no value for him.\(^{118}\)

Rheinberg and Vollmeyer (2012) offer an even more detailed diagnostic and exit scheme, which I am including into the appendix. They work with a collection of questions to find out if and how a person is motivated for a certain activity or not. They also define four types of motivation problems: a complete motivation deficit for a topic, an incentive deficit, an impact deficit and a will-power deficit. For my inspiration booklet, I will reflect on how I could offer support and inspiring ideas to avoid those four potential deficit areas.

### 7.5 Motivation and morality

Until now, I have focused on motivation models – content and process-oriented – yet, I did not connect them with morality or moral development. As soon as I made the connection, I immediately came across “moral psychology” with Piaget and Kohlberg as prominent researchers (Carpendale 2000). The importance of these two researchers for my research could have been in the question, if in stages of adulthood moral motivated judgment changes?

Kohlberg’s model, however, only describes changes until adulthood but does not differentiate later life phases. Piaget does only focus on child (moral) development. Nonetheless, these two researchers triggered the idea to look for interview comments, whether the leaders’ CSR engagement has changed depending on the life phase – for further information please see chapter 3.

\(^{118}\) Thus Rheinberg and Vollmeyer (2012) say you can also increase the value by offering so-called action oriented incentive and/or result oriented incentives. If the actual action is something a leader truly dislikes, e.g. he needs to justify CSR spendings in front of the board, then most likely he/she might not do it. Thus a company can make the actual action for leaders more “comfortable” or “interesting” so that the chance gets higher that leaders will carry out a specific CSR action. The company can also work with a reward that is connected to a positive outcome, this would be the results-oriented incentive.
7.6 Excursus: Motivation, meditation and neuroscience

Coming neither from a psychological nor social approach but from a neuroscience approach, I remember a conference visit in Zürich in April 2010. The Dalai Lama and other personalities spoke on “Altruism and Compassion in Economic Systems.” Feeling compassion and having altruistic motive is closely connected to CSR leadership.

Professor Tania Singer (Singer et al. 2015), the Director of the Max Planck Institute for Human Cognitive and Brain Sciences in Zürich was one of the speakers. She had identified three motivational systems in the human brain: incentive-focused, threat-focused, and (non-)wanting-affiliation-focused. She talked of experiments to increase compassion building with the help of meditation.

At the World Economic Forum in January 2015, she also presented her ongoing research and shared promising results: In a large-scale mental training study called ReSource project, they had involved about 300 participants, all without any former experience of mental training or meditation. The results showed that the brain can get trained like a muscle in the gym. Chemical changes were observed after three months, yet the overall results suggest that such a regular mental training can change selfish preferences into the more altruistic and pro-social ones that are needed to serve a global cooperation. This I do see as encouraging news, even though I believe it will take a longer time to really integrate consistent leadership development training or business school classes that foster this skill.

7.7 Motivation and Social Construction

As mentioned in the beginning I want to conclude with a few statements regarding motivation for CSR and Social Construction.

Observation 1: The meaning of motivation (or demotivation) is as anything else created through the dialogue with others. The meaning around motivation for CSR within an organization is most likely created through conversations between leaders and their team members, bosses or peers,
Observation 2: The content-based as well as the process-based motivation models have been created among a group of researchers and exist now as different operating truths. These truths are first of all rather descriptive, yet when used in action can create joint meaning and become a sense making discourse, as John Rjsman put it one of our conversations. In Muhammad Yunus’ (2007, 56–58) concept of micro-financing, this is vividly demonstrated. In my view, part of Yunus’ success with the micro-financing is based on two of three motives in McClelland’s motive themes: By lending money to poor women, Yunus offered them the opportunity to achieve something (motive of achievement). In addition, he gave them a supporting structure triggering the motive of affiliation: the women were always put into groups of five to help each other out. In addition, they had to meet on a regular basis with 10-12 other groups to exchange about their successes and failures. This set up served definitely as a big success factor of the Grameen Bank lending model and shows, how a certain operating truth – e.g. the theory of McClelland on motivation – can become a sense making discourse, e.g., the in the micro-financing dynamics of Yunus.

Observation 3: The process-oriented motivation models fit better to a Social Construction perspective. The process-oriented models take into account the content motives and in addition describe the motivational or volition processes. This dynamic aspect fits well to the Social Construction principles of emerging realities, of having to deal with conflicting forces and solving them through jointly looking for new possibilities. This is a truly dynamic process.

I started my inquiry with a curiosity for CSR and Leadership in South Africa and noticed over time my explicit interest in the motivation for CSR-Leadership. Simply spoken – I was curious what motivates high-level leaders in South Africa to drive CSR in their business and beyond? Therefore, my final round of interviews was to explore this question on motivation for CSR as described in chapter 3.
“Coming together is a beginning.
Keeping together is progress.
Working together is success.”

Henry Ford

8 Summary

This thesis on “Corporate social responsibility and leadership in South Africa” focuses ultimately on the question of what motivates high-level business leaders to drive Corporate Social Responsibility in their organizations and beyond.

In order to answer this question, the thesis is structured in eight chapters: starting with an introduction (chapter 1), followed by an explanation of why I chose Social Construction as the theoretical framework (chapter 2), leading to the core chapter about my inquiry journey (chapter 3), in which I describe in a narrative style the different phases of my journey, the ultimate inquiry topic which developed over time, as well as the methods and results. In short, I found that there are at least eight different motives for business leaders to be or feel to be connected to the CSR topic in order to drive CSR in their organizations and beyond.

The analytical and descriptive frame of my journey was provided in four background chapters: chapters on “CSR concepts” (chapter 4), “CSR in South Africa” (chapter 5), “Leadership and CSR” (chapter 6), and “Motivation and CSR” (chapter 7) provide an overview on relevant literature, theories, and historical changes.

In the appendix, I added a chapter about me as a person to share my background, values, and biases, which certainly – consciously or unconsciously – influenced the way I carried out this inquiry.

In addition, I wanted to sum up my findings in a practical support for managers; thus, I designed a “CSR inspiration and activity” calendar for leaders, which can be found in the appendix. I will share the final booklet with all the executives and CSR managers with whom I have spoken. It is my contribution to the generative research approach and an additional outcome of this inquiry.

I will now present the essence of the thesis focusing on the main findings as well on my personal learnings. I will do this per chapter – placing the inquiry results from the journey summary at the end.
Social Construction as the basis for this thesis

Social construction is an epistemological approach to how we gain and create knowledge together and thus shape reality, or as Gergen and Gergen (2004, 10) state: “Nothing is real until people agree it is.” This approach opens up a world of possibilities, meanings, and responsibilities in terms of how we jointly create the world. Berger and Luckmann (2013), Burr (2003), Gergen (1999), and Lock and Strong (2010) give a great summary of the evolvement of the theory of social construction.

The current academic discussions focus on the tensions between the modernistic/positivist perspective and the approach of social construction: the modernistic perspective is mainly based on objective and universal knowledge, on science describing reality, on clarity and neutrality, on the differentiation between observer and observed, and on the individual. On the other hand, social construction principles are more about historically and culturally shaped knowledge, about sciences generating possibilities, about ambiguity, plurality, bias, and about seeing relationship as key (Haslebo and Haslebo 2012).

Therefore, doing my thesis applying the social construction principles meant that any inquiry is primarily an act of relating. The language in which we are communicating is important – storytelling, self-reflection – knowing your own biases and looking together for possibilities rather than for absolute truth. Thus, social construction inquiry differs from the classical way of doing research – not in a competing sense, but in a complementary way.

My learning outcomes: The choice of the TAOS/Tilburg PhD program and with that the principles of social construction provided a unique platform to carry out my inquiry. I was able to include the participants into the process. Self-reflection was a part of the journey and I had to learn to embrace ambiguity, which I considered enriching. Social construction became the base of my inquiry journey.

CSR Definition and Concepts

Doing research on CSR first means understanding the concepts and definitions (see chapter 4). Alas, there is a cornucopia of different CSR definitions depending upon the author, the context, and time (Carroll 1999; van Marrewijk 2003; Matten and Moon 2004; Crane, Andrew et al. 2008; Dahlsrud 2008; Benn and Bolton 2011; Schneider and Schmidpeter 2012).
A definition from a social construction perspective (Basu and Palazzo 2008) describes CSR as relational activities of managers in collaboration with stakeholders to further the common good and to demonstrate supporting CSR behavior.

A pointed definition is given by the European Union: CSR is the "responsibility of enterprises for their impacts on society" (Williamson et al. 2014, 7). I built upon this EU definition and enlarged it by stating that CSR is the "responsibility of enterprises for their impact on society, environment, and economy" hereby including John T. Elkington’s (2002) “Triple Bottom Line” approach of people, planet, profit.

As CSR has matured over time, there is also a historical perspective one can apply: going from just following legal obligations, to practicing philanthropy, to integrating CSR into the internal value chains, to acting as a CSR promoter across sectors (e.g. Carroll 1991/2016; Schneider 2012).

Research on CSR trends (Riess 2012; Steger 2008; Harwood, Humby, and Harwood 2011; Visser 2012) show that the younger generations (Generation Y and Z) are more adamant about the topic. CSR is also reaching and involving the end-consumer more strongly and is practiced more in multi-stakeholder projects as well as public private partnerships. CSR reporting gradually became a standard, a “must have” for big corporations. Also, CSR is becoming more specialized; for example, CSR managers working as team members of the research and development department focusing only on environmental issues.

However, CSR is subject to criticism. One such critique is anchored around the economist Milton Friedman (2002). He did not see CSR as an issue of concern for companies, but rather as endangering the core business task of making profit. Other voices blame CSR for only helping companies to greenwash their image, or see it as a burden because of the extended reporting (Hamann 2008). Some point out the wrong intention, that CSR is only practiced to make even more profit (Fleming and Jones, 2013). Banerjee (2011) and Sandoval (2015) go even further and demand more radical changes in the power balance between state, market, and civil society; they see a radical need to transform organizations to actually make them capable of doing CSR business.

My learning outcomes: I remember how overwhelmed I was in the beginning with all the different CSR definitions and approaches. I felt frustrated that it seemed impossible to structure or differentiate the definitions properly. Finally, I wondered if a differentiation or clear definition is really necessary, or what might be the added value. In hindsight, the variety of definitions and approaches shows that research on CSR is vital and constantly moving and it certainly taught me to handle ambiguity. I started to reflect more on the possibility or impossibility of firms to truly act like a CSR agent, challenging myself – is it a nice illusion?
Or does it just take time? Does it take more conscious goal setting at board levels considering CSR? Does it require more information and inspiration around the topic? And/or does it require better collaboration among stakeholders? I still want to believe that CSR can make a difference.

**CSR in South Africa**

I then inquired about CSR in the South African context (chapter 5). The former **apartheid** system in South Africa has created a unique situation for CSR. Due to BBBEE (“Broad-Based Black Economic Empowerment”) – a legal non-binding policy that empowers black people in business – as well as other codes of conduct, the focus on CSR related activity has moved into the foreground (Jack and Harris 2007; Arya and Bassi 2011).

**Ubuntu**, a South African way of being (meaning a person is a person through other people) is also fostering the human and ethical aspect, and hopefully influences (business) people as well. **Religion** was often observed as a driver for CSR in the literature (Angelidis and Ibrahim 2004) as in my interviews. In addition, **socially aware leadership** (Visser, Magureanu and Yadav 2015) is an important factor to maintain the vibrancy of CSR, while the spirit of Nelson Mandela still contributes to a positive attitude regarding CSR.

It is important to understand that there is **no specific definition for CSR in South Africa** (Hamann et al. 2005; Ramlall 2012; Visser, Magureanu and Karina 2015). However, it became apparent that the South African CSR community more often uses the term CSI meaning “Corporate Social Investment.” This is due to the focus on corporate giving or investing in local communities, which is seen in South Africa as an act of philanthropy. Main external CSR spending goes into education, followed by health.

Overall, South Africa ranks globally quite well when it comes to CSR awareness and activities (Bertelsmann Stiftung/GTZ 2007). **CSR trends** in South Africa are similar to the general trends: CSR is becoming more strategic and is moving away from only corporate giving. CSR managers are starting to measure impact and focus on long-term, selected multi-sector partnerships. CSR is supposed to reach the more untapped opportunities in the small and mid-sized companies, yet the reality also shows that money and status have still high value and therefore can undermine CSR approaches.

**My learning outcome:** I was surprised how prominent CSR/CSI is in South Africa. Even though it was and still is more understood as an act of philanthropy, there simply was a lot
activity. The ultimate effectiveness, however, can sometimes be doubted and is – even by the CSR managers themselves. They expressed a clear wish to be more professionally trained on the topic of CSR because in many cases CSR managers are career changers with less knowledge regarding the subject.

I had definitely underestimated religious belief as a driver for people to get involved in CSR and was surprised by how actively the church and communal groups support CSR activities; the civil society seems quite alive. I had also underestimated the pressure of BBBEE with its high and sometimes irrationally high requirements. Various firms had been debating to pull out of the country and produce in a different, less regulated African state. What also surprised me was that the findings from my interviews did fit very well into the general academic findings on CSR in South Africa.

**CSR and Leadership**

The three overarching and interconnected topics of this thesis are CSR, leadership, and motivation. Thus, chapter 6 is dedicated to CSR and the connection to leadership theories.

Leadership theories have been developing since the early 1900s, but only since 1995 have different terminologies and concepts of leadership appeared that relate to being a responsible leader: servant, ethical, sustainable, responsible, moral, mindful, authentic, charismatic, or spiritual (see Chapter 6.4). All these concepts to some extent drive or support behaviors that foster CSR. Also, the explicit term of “CSR leadership” arose (D’Amato et al. 2009), which is not excluding any of the above concepts, but focuses on the leader within a corporate setting who is forced to balance profit making with CSR engagement.

Typically, **CSR leadership can be expressed through a set of behaviors** such as systems thinking, embracing diversity, managing risk, balancing global and local perspectives, emotional awareness, creating meaningful dialogue, and developing a new language – to use the list of Wilson, Lenssen and Hind (2006). My inquiry conclusion is, however, that there are no agreed upon behaviors on how to drive CSR forward, yet that various offers for CSR behaviors do exist.

With the differentiation of transactional and transformational leadership, an interesting distinction can be also made between **CSR leadership and CSR management** (Carroll 2003): CSR management (such as making sure regulations are followed, collecting data, producing reports, introducing (re-active) certain processes) is practiced more often. CSR Leadership (such as setting a
role-modeling CSR vision, strategy, behaviors and values, engaging people into CSR activities, offering space for CSR dialogue) will need more attention.

Overall, I conclude that creating a CSR mindset and developing certain CSR-related behavior in a company has a lot to do with successful change management, as stated by Kotter (2012), Senge (1999) or Carucci and Pasmore (2002). Thus, many behaviors that drive successful change management are likely to also be successful when driving CSR activities.

**My learning outcomes**: I often heard two voices when I spoke with leaders about CSR leadership in South Africa. A minority was not quite sure what exactly that would look like in practice. The majority, however, had a sense of it and acknowledged its importance, but noticed that they simply did not make CSR leadership a priority in their daily business work. It seemed that their motivation was lacking to begin with or it got lost on the way. The more conversations I had, my curiosity regarding CSR leadership and the possible tension towards profit making in the South African emerging market became more irrelevant; instead, the focus of my inquiry shifted towards the individual. I learned that the executives’ struggles depended more on their personality and less on external environment specifics. Nonetheless, the classical tension between global headquarters sending around certain standardized CSR guidelines and a local organization having to implement them was present.

**CSR and Motivation**

There is a growing amount of research on CSR and Leadership, yet a lot less material on CSR and Motivation (see chapter 7.1) – even though motivation is crucial for successful CSR implementation. In particular, the personal motivation of high-level leaders seems important because those leaders are the ones who are able to actively shape CSR in an organization. (Graafland and Mazereeuw-Van der Duijn Schouten 2012; Ditlev-Simeonsen and Midttun 2008; Bronn and Vidaver-Cohen 2009).

One of the most current definitions of “motivation” was developed by Rheinberg and Vollmeyer (2012, 16). They state that motivation is “the targeted mobilization of a current life activity towards a positively valued goal.”

Research shows that one major differentiation is made between intrinsic and extrinsic motivation (Ryan and Deci 2000; Swanson 2008). A further important distinction is made between content based models of motivation (Maslow 1943; Herzberg 1993; Alderfer 1972; McCelland 2009),
which focus on the motives behind an action and **process-based models** (Rheinberg and Vollmeyer 2012; Conrad 2007; Heckhausen and Heckhausen 2006), which see motivation as a dynamic act and a process with different stages.

My conversations with the executives showed that the main motives for CSR leadership in South Africa are intrinsically motivated. The motives can be traced back to the classical content research models, meaning the main drivers are based on achievement, power, or affiliation. The process-based models could not be verified because I did not observe leaders during a CSR activity.

**My learning outcomes**: I was surprised by how diverse and sometimes even contradictory the results of the major empirical motivation studies on CSR were. This can most likely be attributed to the different methodologies, target groups, company sizes, and regions. Further research could focus on accompanying leaders in their daily practice and analyzing at what point in the dynamic process of motivation their motivation was particularly high or low. This could be helpful to support them at these pivotal moments to keep on going despite all challenges. In addition, further research on the effectiveness of CSR training and dialogue could be initiated to find out if educational activities nurture a higher intrinsic motivation level for CSR.

**On a Journey: Stages, Question, Methods, and Results**

To arrive at my inquiry question was a journey, which deepened my understanding for CSR, leadership, and motivation – not only in South Africa (see chapter 3). I am aware of my passion and bias for the CSR topic in connection with leadership. Even before working on this thesis I have been convinced that corporate leaders need to be a part of collaborative actions and dialogues, solving societal, economic, and environmental issues (see Appendix 1). This is particularly important because companies have the financial resources and influential power to make a difference.

It took two thirds (almost two years) of my PhD journey exploring the landscape of CSR, leadership, and South Africa before I identified the final inquiry topic. Only in the last year did my specific question on the leader’s motivation for CSR in South Africa become clear, thanks to an insightful “Aha” moment during an interview (see chapter 3.4).

**In the beginning** of my journey, I interviewed **five CSR managers** of German corporations in Johannesburg about what CSR means to them, what leadership behaviors they view as supportive, and what hurdles and visions they see for CSR in South Africa (see chapter 3.2). I also spoke with **eight other experts and academics** in South Africa in order to sharpen my understanding of CSR in South Africa and to define my inquiry topic.
For the core inquiry on the question of “what motivates high level business leaders to drive Corporate Social Responsibility in their organizations and beyond?” I decided to again focus on leaders from large German/German Swiss corporations to reduce cultural complexity. I connected with eight high-level leaders working in South Africa at Mercedes, Munich Re, Kühne & Nagel, STEAG and Swiss Re. All of them were male, in their mid 30s to late 50s, of different descent and leading up to 1,500 employees in their specific differing functions (see chapter 3.2.2).

All interviews were carried out over the phone and analyzed with the help of the Grounded Theory method going from open coding to axial coding to selective coding (see chapter 3.5.3). Using axial coding, I was able to identify eight motives that drive business leaders to implement CSR (see chapter 3.6):

- Driven by external rules and numbers (which is the only extrinsic motive)
- Giving energy for the individual
- Following an inner discipline
- Feeling connected to others
- Being connected to a higher sense
- Seeing and being involved in progress
- Showing and knowing the importance of CSR
- Getting down to earth and making it happen

The latter seven are obviously intrinsic motives and fall into different categories such as achievement, power, and affiliation. The overarching motive (or the selective coding) from all interviews was “to be connected to CSR,” either through external rules and numbers, or by the above listed seven internal drivers.

In the interviews, I also implicitly or explicitly heard that implementing CSR is seen as not or hardly possible because of missing external support structures. The executives criticized that CSR was neither prominently positioned enough in the company strategy, nor part of their personal goal agreements, nor discussed enough at board meetings. Particularly, external support was crucial for interviewees who showed less intrinsic motivation. However, all interviewees mentioned that more external support would nonetheless help to better implement CSR (see chapter 3.2.4).

In addition, I had asked the executives about their interest in a motivation booklet or calendar on CSR (see Appendix 6). I received a list of creative suggestions from showing the big vision of CSR including the business case, to practical behavioral tips and examples, to including humor, jokes, uplifting poems and stories, to listing relevant questions and short checklist regarding CSR (see
chapter 3.6). This definitely motivated me to develop such a calendar, which can be found in the appendix.

**My learning outcomes:** While I was able to determine the different intrinsic and extrinsic motives for business leaders, there seems to be a gap between talking and walking. While most managers would like to do more about CSR, they find it hard to integrate it into their daily business decisions. A combination of external pressures and structures, of enough information and training about CSR, and a high intrinsic motivation appears to be a viable combination in order to evolve CSR in organizations to a higher maturity level. A natural follow up of this inquiry would be to go back to the executives with the results and see if they resonate with them; another crucial step would then be to have them act out their own recommendations, and more consciously and pro-actively start inspiring others about CSR.

Going forward with the topic of CSR Leadership and the motivation for it, it is encouraging to see that the agenda of the 2016 World Economic Forum in Davos did contain corporate governance, ethical standards, and the new United National Sustainable Developmental Goals. These seventeen global goals (as shown in Fig. 38) can serve as the fundamental basis for CSR and leadership.

*Fig. 38: The Global Goals for Sustainable Development until 2030*

Source: United Nations

---

So, for leaders engaging in Corporate Social Responsibility in South Africa and elsewhere, it will remain a continuous effort to engage themselves, different partners, and stakeholders to achieve the above-shown global goals for sustainable development and CSR.

Particularly innovative social and environmental entrepreneurs give hope. Young founders like Boyan Slat, who works on cleaning the world's oceans of floating plastic (see http://www.theoceancleanup.com), are encouraging role models. Maybe they inspire the big corporate leaders of what is possible and what change can look like!

For the leaders in South Africa whom I spoke to, it is clear that CSR is mostly driven by intrinsic motives, even though they acknowledged a need for external regulation. With the deteriorating economy in South Africa and the continuing burden of poverty, illiteracy, and so forth, the challenges for leaders in this country remain the same or have become even bigger. Having already achieved more than most of the other African states, South Africa can be proud of its current CSR maturity level. Nevertheless, the pressure is on and leaders can continue to ask and reflect how they inspire not only themselves, but also others to drive CSR in their organizations and beyond.
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Appendix

“If you think you are too small to make a difference, try sleeping with a mosquito in a room.”

Dalai Lama XIV

Appendix 1  Reach out - This is me

“...what if we close our eyes and began to imagine the worlds of our hopes” (...) This would be to place the researchers values in the forefront of his/her activities. (...) and purposeful and passionate visions would supply a transparent source of action. 123

Resonating with this sentence from Ken Gergen’s article on “From Mirroring and to World Making” and having just finished the introduction chapter of Carl Rogers’ book “On becoming a person” (Carl Rogers 1995), it struck me that it is important for this inquiry to briefly describe who I am.

I consider it worthwhile to reflect and share my values, my beliefs, and my defining moments as I am aware that all of this is biasing this thesis. By describing it, it hopefully gives you, the reader, some context about me as a person and thus a better understanding of how I conducted my inquiry. As anybody, I am constructing my reality largely based on my values, based on who I have become and want to become – and all this in interaction and alignment, or differentiation with or from others.

Writing this, I noticed that I am not used to presenting myself in such a personal way and it takes some courage for me to do so.

Growing Up

I grew up in small town in southern Germany in a typical middle class household with two kids, being the older sister to my 3.5 years younger brother. We lived in a multi-family residence with five other families and a huge garden. I have fond memories of the first years, my parents were very caring and relaxed, and as there were others living in the house, there was always someone

123 The quote can be found on the Taos Website in a note by Ken Gergen from November 2013: http://www.taosinstitute.net/Websites/taos/images/DegreeStudentResources/Gergen__Ken_—Mirroring_to_World-Making_2014.pdf accessed again September 2015. It introduced at that time a working paper. The officially released and awarded article is now called „From Mirroring to World-Making: Research as Future Forming” by Ken Gergen, Taos, 2014 and can be found on the Taos Website as well.
around. The doors were often open and if you had been in trouble with mom, dad, or your brother, you could walk down to “Auntie Sander” and get some candy. The huge garden with all its trees served also as a perfect playground for us and the other kids in the house.

My parents come from very different backgrounds, which I believe has influenced me early on. My dad comes from a farm with a rough and hearty environment; my mom was raised in an academic household, her mother being a dentist, where discipline and etiquette played a big role. As a kid, I remember the two different cutlery drawers in my grandparents’ kitchens: the drawer on the farm was tight and difficult to open, you had to pull hard with all your strength and then inside you found knives, forks, spoons, everything floating around in chaos, sometimes other stuff mixed in, too. In the dentist household, a noiseless drawer that you almost did not have to touch would reveal neatly sorted and huddled next to each other forks, spoons, and knives. I called them “my two worlds” and I loved both of them for what they represented and what they taught me: I never had an interest in deciding what to like more or less; these different worlds were both valuable and enriching to me.

**School Time**

School years passed by without major events; my parents supported but never pressured my brother and me into anything. My upbringing was not “intellectual” but rather pragmatic and easy going. In my teens, my parents owned a repair shop for farming equipment and machines. Given that it was a lot of work and long hours, it strained my parent’s relationship quite a bit. It was a painful eye-opener for me to realize that relationships of adults can be cumbersome and that life is not always “heile Welt”, meaning my happy world did get some reality dents.

During these times my German and ethics teacher became important for my development because he opened the door to philosophy, to different schools of thought, and to my eclectic approach that I still believe in today. However, I would not consider myself an intellectual primarily. I do have great instincts and an intuition for situations and people, but still, written language is not my favorite channel of communication. Nevertheless, I love reading books with beautiful and precise language as it gives me words to describe what I sense and feel. And until today I have a great thirst for learning and growing personally and together with people around me.

**University Years**

Before going to university, I went abroad for a year to France and to the US, which I both truly enjoyed. I loved the differences; variety makes me feel alive – it evokes different sides in me. The love for variety is why it was not easy for me to make a choice with my studies. I took classes in a
lot of different subjects: in anthropology, in politics, in psychology, in economics, in German and American literature, until one day the lady at the student office said, “Young lady, you need to make a decision now, I am not changing your study book again.”

Then after 6 years I finished with a Master’s degree in International Politics, Economics, and American studies. I owe my accomplishments to my one year studying in the US. The academic teaching style there was much more personal and motivating. It boosted my self-confidence. From the German education system and my parents’ upbringing I learned not to overestimate myself, to be humble, and to not think I am special. This was never explicitly expressed, but it runs in the family since both of my parents have been raised that way as well. In the US, I learned to be proud of that which I am good. I learned that I can change things and to think big; I learned that it is OK to share your strengths and to talk about them. Nonetheless, this is still hard for me until today.

Finding my place in professional and private life

Choosing my work environment after university was not easy – again I was spoilt for choice. One of my mentors once said to me: “Annette, you are like a donkey amidst many haystacks and I see you starving because you can’t decide from which one to eat.” I originally never wanted to work in business, but rather for the UN, the EU, or an NGO, thus serving my big ideals to make the world a better place.

Yet, during my internships at those governmental and nongovernmental bodies I experienced such tremendous amounts of bureaucracy and chaos that it scared me away. My fantasy at that point in time was that the global corporate world works more professionally and also offers access to an international environment. So, I started working in the human resources (HR) department at Daimler Headquarters in Stuttgart. Today I am very grateful for this life turn because I found a functional arena that I am really good in – working with people. I am endlessly curious about who they are, why they do what they do, how they grow, how they resist, and so forth. I simply have a genuine interest in human beings.

My decade long career at Daimler allowed me to see all different HR functions. I lived and worked in different parts of the globe – including South Africa – while learning to play well in the corporate world. And I added many different qualifications from the psychological field, such as a four-year Gestalt qualification, systems thinking classes, the NLP Practitioner, Provocative Therapy certification, constellation work, ritual work – just to mention a few. On the private side, my first big love broke apart after 12 years, with me becoming more and more assured of who I was and what
I wanted from life: to learn, to reflect and grow, to bring the best out of myself and each other, and to have a partner who wanted this as well.

My time in the US
In the year 2000, a challenging work assignment at the US truck company Freightliner as well as a new love brought me to Portland, Oregon for five years. I love the Pacific North West, the nature is just beautiful and even today I enjoy the laidback style. Despite the fantastic environment and my new love – who became my husband – I worked extremely long hours. Reflecting on this, I think I worked so hard mainly for two reasons. Firstly, I felt responsible to fulfill my job assignments; I wanted to co-create and lead this cultural turnaround with all my passion and my vision to create a better working place together. Secondly, I was ambitiously living the ego of my thirties. I wanted to prove that “I can do it”, that I can inspire others to join in the culture change as well – we achieved a lot during this most intense working time of my life. After five years, I was ready for a twelve months sabbatical.

Back in Europe
Not going back to Daimler was one of my big life decisions. On the one hand with this decision I hoped for more free time to start a family; on the other hand I wanted to work for a smaller firm, focusing less on HR and internal politics, but more on leadership in various different contexts.

The first hope did not quite work out: pregnancy stayed away and my marriage fell apart. The second came true with me working first full-time at a leadership consultancy firm and since 2010 independently as a global leadership consultant and coach across sectors and industries. I feel very blessed that I found my professional calling! The different work settings serve my interest for variety and learning. No matter if I serve the United Nations World Food Program together with other colleagues designing and facilitating an emergency planning meeting, or if I run international leadership programs for General Electric in Europe, the Middle East, and Africa, or if I support a private German TV station with their internal change process – I feel this is where I can contribute and live my talents and personality to the best.

The last three years also have been treating me very well in my private life. I found a soul mate in Berlin and he and his two daughters are my dear home base. We are creating a good life together by challenging and supporting each other, by openly and willingly going through ups and downs of life together, and by communicating and negotiating our needs. To me this is what I call bringing best out of each other and writing this puts a big smile on my face.
I hope that the above description gave you a better idea of who I am. Nonetheless in the next paragraphs I will describe for my own clarity and reflection where I see my values/biases and life principles.

**My biases and principles**

I am coming from the world of business living the Prussian values: work hard, be disciplined, fight for what you believe in, never give up!

And I believe in paradoxes or polarity management: global versus local, speed versus quality, or knowledge versus belief. I learned that the tension between these poles will never go away, but need to be managed. This learning relieved me, because suddenly I understood why the same problems came back again and again. Because these are no problems to be solved, but paradoxes. Poles that need to be managed as long as I live.

I often hear myself say: there is not necessarily right or wrong; all behaviors usually have a “function” and this function is important to explore.

I experience every day that curiosity for differences brings us much further. I also learned about myself, that I often stop listening too early, assuming I know already. Thus, I try to stay in curiosity mode as long as possible.

I enjoy aesthetics, clear styles, and occasionally feel guilty for it. It can be the beauty of a simple flower in a garden, but sometimes aesthetics are connected with luxury – and in a world where still a lot of people suffer from poverty, this is a hard balancing act for me.

I have a bias for “fairness” – my idealistic tendencies are sometimes a bit too naïve. As I think there are ways to make the world a better place and that I can contribute. On the other hand, my ideals keep me going and let myself not get frustrated too quickly.

I enjoy pragmatism – meaning I have the tendency to make learning applicable and usable.

…..and there are more, yet I will leave it here for now.
# Appendix 2

## Summary of interviews with selected CSR managers in South Africa

<table>
<thead>
<tr>
<th>Name, Company, Interview Date</th>
<th>Brief Individual Background Information</th>
<th>Definition of CSR</th>
<th>Personal Pride</th>
<th>CSR behaviors and relevant questions leaders could ask</th>
<th>Factors Hindering CSR</th>
<th>Vision for CSR</th>
<th>Ratings</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beauty Jack, Mercedes, 27.1.2014</td>
<td>Female, CSI Coordinator at Mercedes, 5 years in the position, black</td>
<td>Giving back to society</td>
<td>Loves all the projects, e.g. Madiba day, early childhood development, education project for teachers etc.</td>
<td>Being involved, e.g. through volunteerism, road shows through communicating about CSR</td>
<td>Not having a dedicated CSR department (we have one only since 6 years)</td>
<td>Stronger executive committee involvement, more measuring, more strategy,</td>
<td>Does not dare to assess</td>
</tr>
<tr>
<td>Ester Lange, BMW 28.1.2014</td>
<td>Female, CSI manager at BMW, black, 10 years in position, no DR</td>
<td>CSI means investing in our community to help them develop and to make them better — as the ANC phrase said „to make people’s life better CSI is more outside oriented versus CSR is more inside</td>
<td>She was proud but short and humble referring to mentioned — all of our projects on the website and smiled; she also said I would want people to say in the same breath BMW makes wonderful cars and they do great social vibrant projects that work against inequality</td>
<td>CSI leaders should speak about this topics and promote it actively; they should see it as a core business, as a focus next to manufacturing premium cars; they should encourage in one on one conversation and in staff meetings; they should know what the employee is interested in (Volunteerism) and try to connect him or her to their interest via CSI. They should be caring</td>
<td>Seeing CSR as ticking a box, not enough buy in, poor articulation, poor support from many different sides, no mentoring, not enough CSR resources, mindset is “not right” meaning too profit-maximization oriented</td>
<td>Have CSR training material that HR could use: a guiding CSR mentoring handbook, something that inspire the leaders to “uplift themselves and their neighbors”, focus with projects on rural area and keep young people out of the cities — too much crime</td>
<td>7 CSR Dep 6 overall</td>
</tr>
<tr>
<td>Tasnien Patel, Bayer, 6.2.2014</td>
<td>Female, Head of Communication, Bayer in Joburg, responsible for CSR, 2 employees, colored Indian background, comes from Journalism, 13 years of work experience</td>
<td>How an organization is socially and environmentally responsible. How it contributes to society. She makes no difference between CSI and CSR, did not even hear the term CSI before</td>
<td>School developmental project in math and science</td>
<td>Did not really know, only says then it is not an isolated behavior but a combination. Ask q: How does CSR relate to the business, what impact shall it have, what can we gain, what are the risks</td>
<td>Selfishness, not being strategic about CSR</td>
<td>Having a CSR committee, offering more information on CSR and volunteering projects do fewer projects with more impact, BBBEE is helping in being a frame</td>
<td>5 (CSR Dep) 7 overall</td>
</tr>
<tr>
<td>Name, Company, Interview Date</td>
<td>Brief Background Information</td>
<td>Definition of CSR</td>
<td>Personal Pride</td>
<td>CSR behaviors and relevant questions leaders could ask</td>
<td>Factors Hindering CSR</td>
<td>Vision for CSR</td>
<td>Ratings</td>
</tr>
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<td>---------</td>
</tr>
<tr>
<td>Emily Molefe, Siemens, 7.2.2014</td>
<td>Female, CSR Manager Siemens, black</td>
<td>Investing in ecological, social and economical projects that uplift our community</td>
<td>The opening of the Mandela School for Science and Technology makes me very proud – long planning, huge project</td>
<td>Did not really answer the questions, focused more on projects than behavior; repeated that executives should be &quot;engage&quot;</td>
<td>Disinterest in CSR, putting profit ALWAYS first, seeing CSR as add on and not as part of doing business</td>
<td>CSR would need to be a lot more connected with other functions, e.g. HR, we could then collect also more BBBEE points</td>
<td>5 for both</td>
</tr>
<tr>
<td>Nobuntu Lange, VW 7.2.2014</td>
<td>Female, Strategic Stakeholder Consultant, black, 2 years, no DR, BA in communications</td>
<td>To contribute to economic &amp; social progress of our communities by investing in education, youth development, health, community of wellbeing and the environment</td>
<td>She proudly shows a well-prepared document of projects; her personal preference is the employee volunteerism and mentoring project – was strongly involved in that. VW has 33 leaders as mentors and 39 pupil mentees</td>
<td>Leaders continue to promote that VW has always been and should be a people’s company, sharing VW values, creating dialogue on CSR, be good at change management for CSR, coach &amp; guide, be fair and courageous</td>
<td>Not following our Transformation Vision for 2018 (see document), everything is there we just need to do it</td>
<td>Connect social and corporate benefit, have more strategic partnerships, align with national priorities, support local champions</td>
<td>Referred to her boss to answer this Q.</td>
</tr>
</tbody>
</table>

Source: Annette Thum - Longer summaries of each interview upon request 124.

Appendix 3  Sample questions for executives

General data about the executive has been collected upfront:
- Name, title, gender, ethnicity, years in position
- Functional/educational background
- Number of direct reports and head count.

<table>
<thead>
<tr>
<th>No</th>
<th>Question</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>What do you connect with Corporate Social Responsibility (CSR) when you hear the term?</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>When was the first time you got in contact with CSR? In what way?</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>If you would need to define CSR, what would you say?</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>How is CSR relevant in your daily professional life?</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>How does it influence the way you lead?</td>
<td>What questions could leaders ask in the daily business to take CSR into consideration, e.g. function-specific?</td>
</tr>
<tr>
<td>6</td>
<td>What are leadership characteristics/behaviors that support a CSR approach?</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>What are ways you incorporate CSR into your decision making?</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Would you say you act as a role model for CSR – if yes why, if no why – what could be helpful resources for you to role-model even more?</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>On a scale from 1-10 (10 being the best) how well do you feel supported from your CSR department/responsible?/ for CSR people turn question around and ask how they feel supported by the leaders of the organization</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>How do you believe CSR is currently lived and practiced in your organization?</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>What are 1 or 2 CSR examples and cases from your organizations that you are proud of?</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>What could you do/are you doing to promote CSR in the organization?</td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>What do you think is possible when it comes to CSR in your organization?  What could be an ideal future?  What best practices would you want to see implemented?</td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>What could get in the way to realize this vision?</td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>How does BBBEE help or hinder CSR activities?</td>
<td>What would your company do in the CSR field without BBBEE?</td>
</tr>
<tr>
<td></td>
<td>How relevant is the GRI reporting for you?</td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>How could you overcome these hurdles?</td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>Overall, if you would have to give yourself a rating on CSR performance – how would you rate yourself? (scale from 1-10, 10 being the best)</td>
<td></td>
</tr>
<tr>
<td>18</td>
<td>If you would have to rate your organization on its CSR performance overall, how would you rate it? (scale from 1-10, 10 being the best)</td>
<td></td>
</tr>
</tbody>
</table>
## Appendix 4

### Participant list of senior executives for phone calls on CSR and motivation

<table>
<thead>
<tr>
<th>No</th>
<th>Name (random order)</th>
<th>Position and Company</th>
<th>Call Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Owen Smith</td>
<td>Head of Purchasing Mercedes-Benz South Africa Ltd</td>
<td>16.10.2015 1:30-2:30 pm</td>
</tr>
<tr>
<td>2</td>
<td>Thomas Klein</td>
<td>Managing Director Mercedes-Benz Passenger Cars at Sandown Motors Holding (Pty) Ltd.</td>
<td>4.11.2015 3-4 pm</td>
</tr>
<tr>
<td>3</td>
<td>Mayur Bhana (Miles)</td>
<td>Vice President Group Corporate Affairs, Mercedes-Benz South Africa Ltd</td>
<td>29.10.2015 10:30-11:30 am</td>
</tr>
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<td>4</td>
<td>Ralf Franke</td>
<td>General Manager Kühne und Nagel</td>
<td>2.12.2015 6-7pm</td>
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<td>5</td>
<td>Michael Goth</td>
<td>General Manager and Head of South Africa Office STEAG Energy Services GmbH</td>
<td>14.12.2015 4-5 pm</td>
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<td>6</td>
<td>Siggi Busch</td>
<td>Market Head &amp; Client Exec South Africa</td>
<td>Director</td>
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<td>Rolf Weber</td>
<td>Client Relationship Manager Munich Re</td>
<td>6.11.2015 7:30-8:30 am</td>
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<td>8</td>
<td>Thys Nieuwoudt</td>
<td>Executive Head Life &amp; Health Africa</td>
<td>Director</td>
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Appendix 5  Anonymous protocols of senior executives from the phone calls on motivation and CSR

Protocol Senior Executive A:

Ihm Wichtig – er spricht als Privatperson! Nicht als Firmen Vertreter!

A: Wie definieren Sie CSR?

A: Wenn Sie CSR neben der externalen Perspektiven auch internal sehen, was bedeutet CSR dann für Sie?
MG: Also da müssen Sie auf die offizielle Webseite gehen, aber für mich persönlich heißt das erst mal Dinge wir ich bau ne Schule und lass mich dann davor fotografieren sind total zum Scheitern verurteilt, weil nicht nachhaltig. Es muss integriert sein in die eigene Wertschöpfungskette, wie z.B. das Entwickeln von Lieferanten, das ist sinnvoll oder eben meine Themen Aus- und Weiterbildung, was man nutzen kann, was die Kette am Laufen hält. Einfach Geld rein zu stopfen, nee, das bringt nicht.

A: Was glauben Sie , was motiviert die FKS, die CSR leben
MG: lacht und sagt: also ich habe eigentlich noch nie jemanden getroffen, der CSR lebt, sondern nur jemanden der das tut, was notwendig ist. Ich denk, dass beantwortet die Frage.

A: was motiviert sie selbst?

A: Und wie könnten Sie andere für das Thema motivieren?
MG: Das ist schwierig. Das kann ich nicht wirklich sagen. Ich hab mich jetzt einem Kreis angeschlossen oder bin eingeladen worden (ich höre Stolz), das ist sowas wie ein Zusammenschluss besorgter Bürger, ein Community, die treffen sich 2 mal im Jahr unter dem Motto SA für SA. Das ist nicht schick, aber da sind hochrangige Politiker dabei, es ist für mich da eine Ehre mitzuspielen! Und wir besprechen da, was man tun kann, laden auch Dozenten zu dem Thema aus Stellenbosch ein etc. - das halte ich für sinnvoll.

A: Und nochmals zurück zu Ihrer eigenen Motivation: was ist es, was sie am Ende treibt sich für das Thema einzusetzen?
A. Was würden Sie sagen, was könnten Firmen im allgemeinen tun, um Ihre Führungskräfte im Bereich CSR zu unterstützen?

MG: Das hat schon so was institutionalisiertes... Manchmal würde es einfach helfen, wenn die einen einfach machen lassen, wenn man mehr Freiraum bekäme und weniger Regularien. Zum anderen könnten die Firmen mehr Verständnis schaffen für Kultur und Land, und zwar nicht nur einfach einen kleinen interkulturellen Kurs. Auch nur jemanden schicken, der wirklich Interesse am Land hat (und nicht nur am Job!)

A: Wie motivieren Sie sich selbst?


A. Wie kamen sie denn in diese Gruppe?


A. Das ist spannend – gebe Input zu CSR 1.0, 2.0, 3.0

MG: Ja, das kann ich gut nachvollziehen, nur dazu müssen sie die Leute haben, die eben beide haben, Interessen an Ihrer Arbeit und an Ihrem Land oder dem Land in dem Sie arbeiten.

A: Wie motivieren Sie selbst junge MA für das Thema CSR?


A: Wenn Sie sich an ihre persönlichen „CSR Highlights erinnern, wo sie stolz waren, sich voller Energie gefüllt habe, was war das für Sie?


A: Kennen Sie ein Rollenmodell für CSR und wenn was machen die oder der?

MG: regiert fast genervt – von so was halte ich nicht, das ist kein Thema, man soll sich nicht vergleichen...

A: ich formuliere es anders – haben Sie gute Ideen gesehen, die sie evtl. inspirieren.

MG: Er lacht und sagt: Naja für mich sind das die Menschenfreunde, die wirklich den Menschen ernst nehmen ohne, das sie gleich was dafür bekommen. Sie opfern Zeit ohne zu fragen, wollen nicht materielles – so wie Mutter Theresa, ich habe mal eine Dokumentation gesehen, die mich sehr beeindruckt hat.

A: Noch eine letzte Frage: Wenn Sie ein inspirierendes Büchlein zum Thema CSR und Führung sehen würden, was müsste drin stehen, damit sie interessiert?

MG: Ohje – ich hasse diesen ultimativen Guidekram, das würde ich sofort liegen lassen – diese irreführende Management-Literatur...

A: Sonst noch etwas?

MG: Nein, da fällt mir jetzt nichts ein – nachhaltig müssen die Tipps eben sein – nachhaltig.

Ich danke ihm erst Mal und wir sprechen noch ein bisschen über südafrikanische wirtschaftliche Themen, .B. dass die staatliche Beschäftigung zunimmt und die privatwirtschaftliche ab – was er für schlecht hält, denn in der staatlichen arbeitet einer und 9 erhalten sozusagen „social welfare“ und arbeiten nichts, das müsste sich alles in die Privatwirtschaft verlagern. Ich frage ihn noch nach Firmen, die ihm in Südafrika einfallen, die für ihn für CSR stehen und er nennt Evonic und Kühne und Nagel, aber weil er sie kennt und es wirklich weiss – alle anderen können ja erzählen und schreiben was sie wollen...

Er lädt mich noch ein, bei einem Besuch in SA das Gespräch fortzusetzen und wir verabschieden uns.
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Protocol Senior Executive B:

A: Gebe Hintergrund der Studie und Verlauf und erklärt ihm Research-Frage. Und frage ich dann nach der Definition aus seiner Sicht von CSR.

TK: CSR bedeutet für mich, wie unterstütze ich Land und Leute und bin im Einklang mit Profitabilität, mit den legalen Gegebenheiten und unterstütze das Grosse und Ganze

A: Was sind Ihrer Ansicht nach die Motive von FKs CSR im Täglichen zu leben?


A: Sie sagen sie sind empfindlich, empfänglich – hat sich das gewandelt

TK: Ja klar, ich mach viel über die Firma – wir haben aber auch privat auch eine Frau die uns hilft, und die hat viele Probleme, aber wir können sie halt nicht immer schützen.

A. Tun sie auch was bei Mercedes, um das Thema noch ernster zu nehmen und auch andere zu motivieren?


A: Spirit of Giving ist groß in SA – da liegt SA weit vorne auf Platz 2, was mich noch mehr interessiert, ist das interne CSR (CSR 1.0, 2.0,3.0 Input) Sind die Leute auch motiviert über internes zu reden.

TK: Da würde ich sagen strukturiert Konversationen gelingt uns evtl. einmal im Jahr, was deutlich größere Seite einnimmt, sind die Transformation Themen, d.h. mehr Schwarze in Unternehmertum haben. Aber da haben wir ja auch den Druck über BBEE. Jemanden der ursprünglich disadvantaged war Chance zu geben, d.h. wie schaffen wir kleine Unternehmer? Das heißt, wir schauen, wir finanzieren Euch in den ersten 2 Jahren und ihr holt uns dann unsere Reifen ab. Und das treiben wir schon, dass liegt auch an unserem CEO. ER
war auch der erste CEO schon immer stark getrieben hat, der das Thema durch und durch atmet, dem Land sehr verbunden – obwohl er Weiser ist - und will einen Beitrag leisten.

A: Da nochmals einhacken, was glauben Sie, was Ihren CEO motiviert oder auch andere die so agieren?

TK: Ich glaube, dass dies ein tief christlicher, gläubiger Ansatz ist, trotz seines fortgeschrittenen Alters

A: und welche Motive könnte es noch geben?

TK: gutes Beispiel sein, dann auch geschäftliche Motive, welche Rating wir haben – denn wir haben dann einen anderen Zugang

A. und für sie selbst nochmals?

TK: Ach ich, keine Ahnung, aber vielleicht bin ich da zu weichherzig, wenn ich dann sehe wie die Verträge sind für einen Lehrling aussehen... 450 Euro im Moment brutto, das ist Ausbeutung. Ich muss sagen wir gefällt an dem Thema Transformation auch die Provokation. Ich versuche dann auch Schwarze einzustellen. Wir haben ja auch jedes Jahr eine Mitarbeiterbefragung und da kommt oft raus, dass ich die Themen sehr ernst nehmen – und die Frage wird gestellt, warum nimmt ein Thomas das ernster als Expatriate als ein Lokaler...Das liegt aber auch daran, dass wir nicht diese Kategorien haben in D. Für die jungen Südafrikaner wird das neu sein. Aber ich hab ja nix zu verlieren, ich kann hier Veränderung vorantreiben, was ein lokaler evtl. nicht kann. Meine Sekretärin hat auch oft Angst, wenn ich gehe, weil dann vielleicht jemand sagt, so jetzt setzen wir Dich mal wieder dahin wo Du hingehörst...das sind Ängste die da sind.

A: Kurzer Themawechsel – ich plane eine „leichtfüßiges Buch“ dass Manager unterstützt beim Thema CSR. Wenn sie so ein Büchlein aufgreifen würden, was sollte drin stehen?


A. Was tun Sie im Alltagsgeschäft um das Thema mehr in den Vordergrund zu stellen


A: Nochmals zurück, wenn Sie sich über den Tag beobachten, zu wieviel % spielt das Thema überhaupt eine Rolle? So ganz im echten Tagesgeschäft.


A. Und wie machen sie motivierende CSR Aktivitäten für jungen Manager?

A: Eine Frage zu Stolz bzgl. CSR - was ist Ihnen gut gelungen.

TK: Ich geniesse schon, dass meine schwarze Sekretärin mittlerweile besser ist als Ihre weisen Kolleginnen, ich geniesse das schon jemanden wachsen zu sehen, ich fühle, dass ich da einen kleinen Beitrag leisten kann. Ich bin auch stolz, dass bei der Mitarbeiterbefragung gesagt, wird, dass der einzige, der durch die Hal- len läuft und alle Hände schüttelt, der Direktor (also er) ist. Das finde ich interessant und da führe ich auch Gespräche mit meinen Mitarbeitern, ich frage dann, das muss Euch doch betroffen machen, dass die das nicht über Euch sagen – aber dann schauen sie einen nur relativ leer an und sagen, aber meine Leistung stimmt doch...

A: Hätten Sie evtl. andere Themen hochgebracht, wenn ich statt CSR das Thema Sustainability genutzt hätte.


A. Zwei Fragen hätte ich noch: Stichwort: Inspiring CSR booklet: Dazu noch Ideen?

TK: Man müsste herausarbeiten, was es für CSR-Arme gibt es – z.B. ihr CSR 1.0, 2.0 etc. – darum denken wir nicht nach - auch praktische Anwendungsbeispiele, ein paar eurer untermierte Beispiele, wo man klein angefan- gen hat, aber wo was draus geworden ist.

A: Gibt es noch was, was unser Gespräch evtl. getriggert/verändert hat bei Ihnen?

TK: das kann ich Ihnen morgen beantworten – ich schreib Ihnen dann eine Email, aber unser Gespräch führt mir nochmals vor Augen, dass auch das Thema noch aktiver treiben könnte, auch wenn ich mir einbilde, dass ich das eigentlich schon gut mache, aber wahrscheinlich mehr machen könnte. Also würde Sie mich jetzt nach unserem Telefonat fragen – steche ich jetzt als leuchte CSR Fackel heraus, würde ich sage, die glimmt vielleicht... wir lachen.

A. Darf ich Ihnen evtl. den Anhang mal rüberschicken für ein Feedback? Dürfte ich Ihnen das schicken?

TK: Das dürfen sie gerne! Bitte einfach schicken und geben Sie mir ein paar Tage zum Reflektieren.

A: Super vielen Dank, das mach ich und jetzt einen guten Tag noch!

TK: Danke auch fürs Gespräch!
I give him a bit of background about myself, my research purpose and approach and make also connection to his CV, e.g. Freightliner....etc.

A: What does CSR mean to you personally – I am curious to know your personal opinion, not so much a company’s opinion.

M: My view is: CSR is the art of giving. It is what sort of position and strength an organization has that can effect positive change in somebodies’ else’s life. It is an organization with a lot of expertise, it is an active member of society that has the responsibility to act and change in communities. As a luxury car brand it is even more responsibility on us. We have such a vast gap between the rich and the poor. We need to make sure that that gap becomes smaller, even for our own sustainability. This is not a selfish view. I do not want to sell more cars because of my CSR strategy. I want to create an opportunity for someone’s dreams. This may sound fluffy. We have so many kids with dreams but without guidance, means, motivation to live their dreams – not only in South Africa, but the world.

A: Do you have children yourself ?

M: Yes, I do I have a five year old and a nine months old.

A: They keep you busy.

M: yes, and real. when you interact with children and their imagination, we can see dreams and opportunities and we lose that as we become older, because society molds our dreams more and more and we more things impossible to attain. The limitation we put on ourselves are extreme. And this is the problem. It is not so much about giving money. It is about really understanding the social fabric of that community. Understanding where these kids come from, what does their family situation looks like, what does the school sit look like, is there running water.... And then how best to contribute to that environment.

A: The research says that there is: CSR 1.0 (Investing into schools - ) CSR 2.0 which includes 1.0 (company looks to internal values chain) – and then there is CSR 3.0 which sees company and leaders as the co-creator with governmental bodies etc. Does CSR do Mercedes at what level?

M: I would like to think we are at Mercedes at 2.0. I would say we did that in the last 5 years more, more intensely with more focus. The aspirational target is for us to get to level 3. The fundamental problem is we are by our very existence –a sales org! In any organization we focus first on bread and butter – get to a high performance do more with less. Once you get to a comfortable position then you can think bigger. We are fortunately in a country which is blessed with great diversity, beauty, a country with long history and a history of making the impossible possible. And you can take Madiba as an example of that. Nowhere in the world a transition like that has happened without violence. So we South African have that within us (making the impossible possible) and we are proud of it. To get to stage three we have to think how do we become – from a sales org – to a “family” - initiate leaders to become active community members. This we need to have in our strategy. That is difficult, because your target do not decrease, just because you are in a rural area dealing with a major in a town. We are very much in the exploratory phase in phase 2.

A: What would you say are the personal motives of leaders to live CSR?

M: You get two types of leaders in my regards. One who is born and raised in this country and has enough experience, awareness and embraces the social challenges. That leader should focus on uplifting people, that person understands that is part of my life. I am not going anywhere. An individual that has fallen in love with the people and the country. The other leader is only here for a short period of time and is driven
by sales. The one more empathy and the other one less. Not wrong and a right. Two mindsets on two different objectives.

A: I hear you say: Living in the country and being an expat makes a difference – and falling in love with the country and society makes the difference.

M: yes it is about love and appreciation, most likely the ones born here have this more, there is a higher identification with the country.

A: What are the should be motives of leaders?

M: A longer-term vision regardless of who you are, of who are reporting to etc. you have also a responsibility to develop people long term. It may sound like I am speaking from a fairy tail book...(Sounds apologetic)

A: this is rare – keep on speaking from a fairy tail book – we laugh...

M: I have had a leader – an expat – but he fell in love with the country and did great things – and then you have those people who just are here to make money. As a leader regardless I think you have the strategic responsibility to also develop communities – because we are part of it – and we have been here for long – we are celebrating our 60ties year. So what are we doing for the people - How do we engage government etc., this is what we do in the plant.. we have leaders really, really connected to the people, the unions it is part of their responsibility to talk to people to create a constructive dialogue.

A: Mr. Schrempp and Mr. Koecke – even though two Germans in SA- seemed to be two of those people really interested in the country.

M: yes, Mr. Schrempp was inspiration and motivation to me. So where does it come from? (he sounds excited and thinking...) It does not have to do with where you come from but how you are brought up, your family socialization. It makes us embrace certain things and embrace certain things more than other things and makes you act differently. My best-case scenario is to have leaders who have a bigger picture in mind, who are more sustainable. I want people standing in front of a journalist not saying only but meaning it – we are an active member of the community (not only a sales organization), because of our investment we create jobs, we upskill, these are all facts.

A: If you take yourself, what could the company do to even motivate you more for this topic

A: It starts off by taking this topic and putting it on top of the agenda and that just means it is in focus. And that I create a connection between who I am and what the reality is. I am sitting in a great office, with a great view of the dam, birds chirping and everything. I drive from work with my fancy car and my fancy home, on the weekend I go to the mall with my family and we connect we people alike. So where do I experience reality. So this is why we have EVP= executive Voluntary programs, it give employees the opportunity to experience the reality. As leaders we have to take responsibility. In the last year we have given each Excom member a responsibility for a program. So they can drive the awareness, importance etc, so that we are an active contributing member of society.

A: Again for you personally, if you remember a moment that you were proud of in connection with CSR? (Emotionally, physically)

MG: ya, sure: It did not happen in the last year but 2 years ago. It was a personal connection to one of the kids. A little boy 8 years who lost his 6 year old sister (no Dad, mum not doing so well). We had a routine visit, where we would clap, take photos, and we connected well. And within two months – I did not feel like leaving this project – I saw the magic how this kid was transforming, he started excelling at school etc. he started calling me dad – I became frightened, because I did not know what to do with the responsibility. HE just needed to have someone looking up to. I took another month to slowly let go – with the teachers involved. He is just such a fantastic person – I see him now every two month – it is a really personal experience. This experience showed me how powerful I am - and you take it for granted – but I learned for my children and how they look for inspiration as well. How powerful I am in a humble way – giving time
A: yes I notice you being moved – it is not only power by position but because of you are as a person and how you connect with others.

MG: ok – ..(he seemed almost embarrassed to have become so emotional....)

A: How do you inspire others in your organization in your team?

MG: look, we try to connect CSR to a broader topic, such as Nation building and one of our sponsorships was South African icon celebration. We try to make them understand what CSR plays a part in Nation building. So we get the project here or get Executives there – and there are inspired through connections. Be connected emotionally and we make them understand the social picture as well, e.g. AIDS rates, abortion, poverty rate (compared to other countries). It takes you from an ignorant position to an informed position and if I am informed and I understand clearly, then I have the power of choice to act. Otherwise I can interview 10 people - and I am asking: do you like to give back to community and they say, yes...so what is stopping you – they will say, I do not know where to start – yet it is all around you.

A: Have you been connected to an ethical dilemma? (gave him an example)

MG: No, not in the relation to CSR, but everyone in business has to make tough decision, but we do take pride in our values – yet I can’t really tell you, Annette...

(I felt he is avoiding a bit)

A: Due to your conviction and/or position that you carry, you do act as a role model already, you show others that CSR is part of the company. What do you specifically do in your daily leadership practice?

MG: What I do consciously and with great intent and I do it consistently, I always try and be inspirational. Take my fears and put it into something positive. Always start the meeting with something motivational, get people out of victim mode into a mode of being in control. And always compare yourself to others who have less. At a very age I realized my biggest fear which is abandonment, right. And I am unworthy and every time I get a big take I think I can’t handle, I get the feeling that people will abandon me. This can cripple you for life – and at a very young age I dealt with that and went through it. There is always this message that you are not good enough but you need to learn to ask for help and you will surprised how many people will want to help you – but do it in the right spirit. You have to do it with conviction and you have to bang on their door saying you will help me. These are simple message, principles that I live by. You get into opportunities, you get over hurdles, you confront your fears, you are taking action when the “you are unworthy come in”....

A: two more questions I would have – my booklet question – CSR guidebook for leaders – to pick it up what would you like to get from it?

MG... mmmhhh I am thinking. I think t get a holistic overview of what are the challenges because I do think we have similar challenges, behavior traits, so many leaders. The only way for this book to get my attention is to identify with it. A balance of what the reality, if it has inspirational stories of people who are making a big difference and you can see their effect – that would inspire me to do similar. Not leader on the silver platter, not a guy who went to private school and made a change. I am interested who had a difficult path but now made and give back.

A: Yes often it is also a “how to”, e.g. give practical tips

MG: Yes sure and utilizing the value chain...

A. Say more

MG: we utilize our value chain to teach truck drivers to value their health. There is a high HIV rate –

A: I remember in East London – to put aside money for HIW.
MG: So we have got clinics at the highway and they get counseling, the nurses can break the stigma. For them it is not easy to disclose and make themselves vulnerable. We took this wellness aspect and put it in to our value chain, meaning when we train truck drivers – driver training (which is part of our value chain). You have to be a skilled driver. We got driver training program and a wellness program. So we went to our customers and offered that as part of our services and they say wow how great Mercedes is also interested in our drivers – so this is how

A: This is an example for 2.0 CSR.

MG. I think the magic happens when you know at their door together.

A. What would you say triggered this conversation?

MG: A really interesting conversation – good questions- I am inspired talking about it.

A: Sure I will keep this anonymously – and yet change often happens through that connectedness and it is interested that often we do not name it so openly.

MG: ya, ok –thank you.

A: when it is done, I am going to send it over. Could I send you a rough draft upfront just to get your first opinion?

MG: Yes sure...

A: Thanks and have a lovely weekend.

MG: Thank you and all the best – particular for the last weeks.

A: Yes, you will hear me sing hallelujah when I am done...

MG: laughs and shares final good bye.
Appendix

Protocol Senior Executive D:


A: How do you define CSR, what does it mean to you?
O: It has to do with environment, people and law obedience. It means to not endanger the environment, how we engage with people, that we do it with respect and that we accept the laws.

A: Do you see a difference between internal and External CSR or both?
O: To me it is both, it goes internal we have a stronger influence that externally but it cannot be an either or.

A: What do you think motivates and inspires leader to live CSR in South Africa in their leadership practice?
O: First of all I would divide: if we have a change to help to be a custodian; And then it is seeing it, experiencing it and then engaging with the people. You know our people who come to work on products they will never be able to afford, they sometime do not even know what part is for what, but if we engage with them if we try to understand them we can make the right decision. If you talk to them and start wanting to change something. And if you do that is also beneficial for the company in the long-term, this is also a motivation.

A: So how is it for you being the head of purchasing and having to cut cost being responsible at the same time?
O: So allow me to elaborate on that: We have a new CEO since the beginning of the year. I often sat down with him and we talked about BBBEE and why and how as a company we should engage in it or not. So if we participate, if we are bringing people back into the market that is also helpful for us as a business. Otherwise it is a regressive policy. If we are participating in the facilitation of bringing people into the market of having them take their share, that is supportive and helpful for everyone. So now he also supports BBBEE. And let me give you a specific example. If we have an underdeveloped supplier, if they, e.g. do not have professional accounting tools that also makes it harder for us to work with them. If we manage them to get better that will help us to get better and it will reduce the risk as well.

You know the starting point is trust. When our CFO came, it took a while, now we have a trusting relationship. Sure we have to think about economic reasons, about the hard economic factors but there is also other thinks. In the end it depends on your own value system. If you do not believe you can make a difference who will. Respect is so important. It does not matter if he is the CEO, or the cleaner. If I am at the men’s bathroom at the airport, I so often notice how the cleaner get disregarded, but they are people like me, we have to respect everyone. And I also think CSR does not end when you get off at work but it is wherever you go.

A: What do you think motivates yourself for CSR?
O: You know, it is my value system, it is about giving back, it is how I live my life, how I build it, how I decide. My values are a sound foundation. I discipline myself quite strongly. At the weekend, for example, we are all tempted to drink alcohol, I always tell myself one or two is enough, also with food. It is how we engage with others, if we think good thoughts, if we lead helpful processes. You know I hardly ever raise my voice, 90 percent of time (he laughs) I can stay calm. And you know it is also about hard work, it is to try to
get to best of your ability, even if I do the dishes. I always try to give my best and to be in the present. You know if you are in a reflecting manner at some inner peace, your decisions are usually sounder.

A: How would you motivate young manager regarding CSR?

O: I have a lot of your people in my group who are at around 30. I try to contextualize things and give them a broader picture. I often find younger managers are more caught up in the stress and hectic, create their own panic, but often they do not think about the impact they have with their action I tell to not create their own panic, I ask them from what other angles their can look, what multiple effects their actions may cause and that is not only about the law.

A: thank you, I have been thinking about creating CSR material, an inspirational booklet, for managers. What would need to be in there in your point of view, so that you would like to read it?

O: Different country requirements, and CSR is often seen as charity, but you need to show the bigger context. I think I would like to find the company, country and development aspect in there.

(then he gives the example of the Roman Empire where people where excluded and had to live outside the empire. But then diseases started spreading, people got ill because of the bad living conditions and they spread into the empire. So that means if you start to exclude people and not integrate them, that is not helpful to build an peaceful and healthy society. Sure there will always be different levels of consumption. Not everybody can consume the same way, we will always have levels of e.g. CEO, IT manager and a plumber. That is normal. And we here in South Africa we do have a problem with advertisement. It tells us that we can only be happy if we sit in a boardroom. Success means sitting in a boardroom, but you can also be happy and successful as a plumber.

A: When do you feel energized about CSR activities? Do you remember when this was the last time?

O: I am busy with a lot of projects. Some are also including important BBBEE decision, e.g. how much income we give to people. I like that responsibility and it is sometimes frustrating too. People often are so different. The ruling ANC party has been putting people in to jobs that they are simply not yet capable for. How do you solve this? Here is the BBBEE theory put into practice and it does not really work.

You know hard work is needed! And in South Africa we have a major misunderstanding. Often the South African people think things get handed to them. You know when I was in Germany for 6 months, in Stuttgart at Kinobauer, I saw what hard work is, I also saw how people are looking for innovation, proactively, they are not waiting. I remember I read an article about a young couple who had created a formula for a by-product of wheat. They are producing bio card board with it; it is bio-packaging they came up with. It is hugely successful, it is a great sustainable product. The waste is used. The waste of wheat, isn’t that great.

O/A: O asks me about the open structure of the interview and I explain to him and this is not about testing a hypothesis or framing a problem statement that should get solved, but is about letting themes emerge from interviews and their consolidation may brings ideas for „solution” or next steps.

A: I only have a few more questions: I am curious to learn from you how you motivate your team member?

O: Oh, it is never about preaching I avoid that. In my management meetings I share examples of CSR, I create an understanding about the value of it, I contextualize it to their environment and situation. That is how I do it.

A: And how would you say does the company motivate you?

O: For me it is great to see that with CSR projects money is never the issue. Currently we are delivering books into rural areas. This is uplifting and I happy to give my company car to the team for delivery.
We close the interview and I am asking him about the impact the VW scandal has in SA. He says everyone is very shocked and then indeed it is frustrating. He also shares with me that Dave Powels, the former CEO has moved on to Brazil. He then finally also offers to me to have a chat with the Director of Corporate Affairs.
Appendix

Protocol Senior Executive E:

Note: This is our second conversation.

A: Es gibt nur noch ein paar wenige Fragen, die auf Motivation und Motive abzielen. 6-7 Fragen. Großes Thema: Was motiviert FKs CSR in Ihren Führungsalltag umzusetzen?

R: Was ist CSR nochmals?

A: Ok, dann frag ich Dich nochmals eher anstatt es zu definieren: was verknüpfst Du damit?


A: Was glaubst Du, was die FKs, Deine Kollegen persönlich motiviert sich persönlich für CSR einzusetzen. (BBBEE ist ja nur ein Arm) Was sind Deine Erfahrungen?


Deswegen - die Motivation hängt vom Top Management ab. Ich wäre nur motiviert, wenn es in meinen Zielen steht - also das die Stellen mit Schwarzen besetzt werden müssen. Momentan haben wir umgekehrten Rassismus, in wirklich gerechter Welt, sollte die Hautfarbe keine Rolle spielen, sondern nur die Qualifikation.

A: Gut, SA hat mit BBBEE eine Sondersituation. Stell Dir einfach mal das CSR außerhalb von SA auf, was Sind die Motive für FKs sozial, ökologisch aktiv, interne value chains optimieren.

A: Mich interessiert noch stärker die persönliche Motivation ist für CSR, d.h. was motiviert den einzelnen. War beobachtet Du, wenn Du auf die Person guckst.


A: Das ist eine berechtigte Sorge.

R: Ja, und mit welcher Berechtigung will Du Menschen befehlen. z.B. die, die in Afghanistan, sollen die gezwungen werden, auf Ihrem Geröllfeld sitzen müssen. Ich könnte auch nicht in Asien leben, aber ich geh gerade vom Thema weg.

R: Hatte auch gerade interessanten Diskussion gehabt, mit Christian, darüber, dass jeder denkt, dass er etwas besonderes, etwas besseres verdient, toll du hast ein paar Milliarden Menschen und wozu führt das. Jeder denkt, dass er das Recht auf ein besseres Leben hat.

R: Du musst immer die individuellen Personen sehen, dann ist auch die Angst weg. Aber bei ein paar hundert geht das dann nicht.

Dann längeres Gespräch über Flüchtlinge....

A: Meine Rückfrage: Wenn Du nochmals für Dich schaut, was Dich persönlich für CSR motivierst – und du hattest bislang gesagt Ziele und Dankbarkeit, sozialen Frieden stiften... (R unterbricht)....

R: Ja, aber die Grundmotivation ist für mich FAIRNESS, es ist vielleicht auch unser Erziehungssystem. Es muss fair und menschlich sein, dieser Pfeiler in der Erziehung.

A: Wenn Du dich selbst noch mehr motivieren wollen würdest, was würdest Du dann tun?

R. wiederholt die Frage und denkt nach.

R: Dann müsste von Arbeit her eine andere Gewichtung stattfinden. Ich konzentriere mich momentan auf meinen Job, Das heißt dieser CSR Bereich kommt erst am Ende, weil e die geringere Rolle spielt. Das heißt, je wichtiger das Unternehmen die Sachen macht, dann kommt es eben auch in meinem Fokus.

Na klar, du hast nur gewisse Zeit zur Verfügung, aber wenn keine Anreize da sind, dann muss mich das Thema interessiert oder die Menschen die es treiben.

A: Was würdest Du gerne in einem inspirational CSR Booklet sehen, damit du danach greifst.

R: Zum einen informativ, aber auch nicht zu viel.

Du willst grundlegend etwas verändern, damit ich etwas langfristig verändern kann. Wenn das einfach nur auf Hilfsbereitschaft aus ist, dass ist das nicht zu spannend. Es gibt so viele Töpfe, wo Du spenden kannst. Hier sind ja dauerhaft Initiative. Ob du dir den Bart wachsen lässt, im Winter denken sammelst etc. Es gibt hier keine Woche wo es keine Spenden Aufrufe gibt.

Heftpflaster kleben kann ich nicht mehr sehen – ich muss langfristige Ziele sehen

A: Deshalb finde ich die CSR Reifegrade so zutreffend und (ich erzähle dann zu CSR)


R: Ich würde mich auch freuen, in dem Buch auch positive langfristige Beispiele zu finden, das würde mich motivieren.

R: Fragt nach meiner Hauptmotivation:

A: Für mich ist es friedlich miteinander zu leben und vor allem auch mit der Erde, die uns viel gibt.

R: ja aber wir leben auf einem Niveau, wo unsere Bedürfnisse befriedigt sind, und wenn Du schaust, was für uns alles Normalität ist....wir haben da so ein hohes Niveau, aber die anderen sehen wie Du lebst. Aber wie willst Du mit denen die nichts haben friedlich zusammenbringen, denn die die nix haben, mit dem zufrieden sein. Aber wir haben durch unsere Beziehung ein Brainwash hinter uns. Jeder hat da eine besondere Einstellung. Wir haben viele von den Maids, die Ihre Dienste machen und dann nach so vielen Jahren sollte man Loyalität vermuten, aber dann nehmen sie etwas mit, wie Sie sagen, Ihr habt ja soviel.. also das ist nicht einfach...

A. Naja, man muss einfach weiter machen, der Tropfen, immer wieder an den Tropfen glauben.

R. Ja, da hast Du recht, einfach weitermachen oder eben immer wieder anfangen...

A. OK, dann danke ich Dir mal für heute und freu mich, wenn wir uns bald wieder sprechen.
Appendix

Protocol Senior Executive F:

Kurze Einleitung worüber ich “forsche” und mit welchem Ziel und kurze Intro, was er macht

Dann meine Frage, was seine Wahrnehmung gerade in Südafrika mit CSR /BBE passiert:

Er sagt: die drücken gerade aufs Gaspedal, manche sprechen schon von reverse apartheid, auch wer an die Uni kommt und wie gefördert wird. Viele der schwarzen dort wechseln alle 6 Monate für doppelt digit Gehaltserhöhungen, richtiges Jobhopping, das erzeugt Druck am Markt und die Firmen tun sich schwer, es gibt auch keine Stabilität; auch werden Firmen zu schnell verkauft, wenn es sich lohnt.

Meine Frage: Was bedeutet den für Sie CSR, wie verstehen sie dies?

Seine Antwort: also ich bin froh, dass wir als Firma Schulen unterstützen, das S von CSR steht dabei im Vordergrund. Ich persönlich habe mich entschieden, eine Orphanage zu sponsern. Für mich würde es aber auch bedeuten, dass wie als Firm noch mehr tun bei dem Thema Versicherung für Arme, dass wir Produkte in den Markt lancieren, für z.B. Mikrofarmer, dass wir Lobby dafür betreiben, dass Arme Versicherungen bekommen für wenig bis kein Geld (kurzer Ausflug zum GMDP, dass sie dort so etwas machen, er ist kritisch und meint, dass sei eher Ivory Tower Arbeit; ich bin da, ich schau es mir an und versuche was zu verändern, woanders werden leider nur 1000 slides produziert auch wenn all sagen “Just do it”

Meine Frage: Was könnte den Swiss Re noch machen, um CSR zu stärken?

Er sagt: Naja was fehlt, es fehlt ein stategischer Plan, ein Plan über 2 Jahre fehlt komplett; man setzt auch einfach nichts um. 100000 Schwarze in Südafrika, selbst, wenn diese nichts mehr kaufen sollten, dann viel leicht deren Kinder, die Generation danach kauft vielleicht. Das ist evt. so, wie bei meinem Vater, dem hat die Sparkasse mal was Gutes getan und ich sein Sohn bin dann auch zur Sparkasse

Ich: das heißt, da lief es über einen persönlichen Kontakt, ein persönliches Gefühl

Er: ja, aber wichtig ist es die jüngere Generation zu erwischen, ich verstehe nicht warum man nicht mal 5000 US investiert, selbst wenn man auf diese keinen Return bekommt, aber es sich langfristig auszahlt.

Ich: Was macht denn xy noch im CSR Bereich?

Er: Wir haben eine Foundation und die hat globale Projekt, wie z.B. die Alzheimer Foundation in UK, dafür werden Spenden gesammelt, aber wir haben keine Abteilung, die das Thema CSR wirklich angeht. Manche Sachen kommen z.B. auch von privat; es gab da ein Projekt in Nordpakistan und Swiss Re unterstützte das dann mit.

Ich: was könnte, den die Firm noch tun?

Er: Naja, wir haben ja all unsere MBOs (Management Business Objectives), wir müssten CSR Themen darin integrieren und überhaupt als Firmen mehr über dieses Thema sprechen (von Alzheimer weiß ich auch nur, weil mir das mal ein Kollege erzählt hat)

Ich: Was würden Sie denn doch gerne über das Thema CSR lernen?

Er: naja mehr wissen schadet nie, aber was genau könnte ich jetzt gar nicht sagen; außerdem halt einen die Arbeit auf Trab und wenn das Thema CSR mehr Teil der Arbeit wäre, käme es auch vielleicht nicht zu kurz.

Ich: Was war denn für Sie ein energisierender, motivierender CSR Moment?

ER: Ich sage nur 30 Millionen Displaced People in Pakistan!
Ich: Sagen Sie mehr 😊

Er: Also in 2010 bei der grossen Flutkatastrophe und Pakistan war mit dem GDP auf Platz 20, aber alles kaputt und die Welt tat sich schwer zu spenden, aber die brauchten alles, Ärzte, Toiletten, Krankenhäuser – und wenn ich mir das nochmals vorstelle: wir die Schweiz sind 8 Millionen Menschen, das heisst, wenn wir auf einmal 4 mal die Schweiz versorgen müssten, stellen Sie sich das mal vor (er wird sichtlich aufgeregt) und wie dann das Volk dort zusammengestanden hat, sich geholfen hat. Wenn das alles versichert gewesen waere, waere das ein Schaden von 4 Milliarden US Dollar gewesen, es war aber nix versichert, es gab nix, was versichert war. Das kann es eigentlich nicht sein, da muss man was machen! (wir reden fachlich noch ein bisschen weiter, wie eine Versicherung es schaffen könnte, die Nicht Versicherten zu versichern...)

Ich frage dann, was er tut/tun könnte, um auch als Role Model für CSR unterwegs zu sein.


Ich: welche Fragen könnten Sie sich in Ihrem Bereich, in Ihrer Rolle stellen, die Ihnen helfen würde noch öfter an CSR zu denken?

Er: Da fällt mir so spontan nichts ein. Also ich bin verantwortlich für CSR, aber für die “Nicht Leben”, d.h. auch wenn ich nur 2 DR habe, muss ich 50-80 Leute beeinflussen. Südafrika ist gross, es strahlt aus. Ich bin kein Manager mit Authority, sondern ein Influencer, ich stehe in konstantem Wettbewerb um Ressourcen, und muss werben.

Ich: Was könnte den eine CSR Büchlein für Manager enthalten?

Er: Also ich würde immer mit einem Geschichtsbuch und eine Erdkundebuch beginnen. Jedes Land ist so verschieden und so spezifisch. Ich schenke z.B. immer meinem neuen Mitarbeitern, das Buch von Nelsen Mandela “A long walk to Freedom”. Ich finde man muss verstehen, wie das Land tickt, sonst bleibt alles an der Oberfläche und wir bauen halt mal ne Schule, aber wie man wirklich den Leuten hilft bleibt unklar und ändern man mit so kurzfristigen Sachen wirklich was? Wir müssten vielleicht auch wissen, wo wir mit der Landreform stehen usw.

Ich: Wie würden Sie den jungen Mitarbeiter für das Thema begeistern?

Er: Also ich habe auch länger in Australien gelebt und da gab es so Community Days, die immer wieder kamen, wenn man das gemacht hat, hat man einen Tag Urlaub bekommen. Ich finde so was motiviert, weil es seine Gemeinschaft aufbaut, die sich um gewisse Themen kümmert. Und vielleicht ist es auch besser, die Sachen immer local zu machen, so wir hier in der Schweiz konstant auf den gleichen Bauernhof gehen, um zu unterstützen. Ich halte eigentlich nicht so viel, von dem wir fliegen mal als Management Team auf die Philippinen und nageln da ein Haus zusammen, man kann sich da als Held fühlen, aber ändert man wirklich was?

Ich am Ende noch eine Offene Frage: Gibt es noch irgendwas, was ich gar nicht erwähnt habe, was wichtig ist?

mal runtergehe, dass versuche ich das Interesse im Land zu wecken, und übers Land zu fahren, damit die Neugieriger werden...

Wir schließen und er bietet mir an für ein weiteres Gespräch zur Verfügung zu stehen bzw. ihn mit einem Kollegen von ihm Tace (President of xy in South Africa zu verknüpfen. Ich danke ihm dafür!
Protocol Senior Executive G:

Me building rapport through Rolf Weber, Marc Rogatschnik since he knows people I know a long time and obviously knows Marc according to Linked in. I briefly repeated my interest since he had received my info material and the interview started. He uttered from the beginning an interest in hearing from me what I found out so far. I told them that I would also produce material for them as leaders – which I would send to them.

Annette: What does CSR mean to you:

T: for me it is making a difference – outside – to the people in the community. It does not need to be rewarded, it is not an investment, not rewarded in money you get. It is something we need to do without expecting anything in return.

Annette: When you think about what motivate leaders in their leadership practices to live CSR.

T: Form e: well we have a legal framework – we get financial incentive, an astute board will push it, the whole business frame in SA is well set up to make sure that CSR gets on your list - through BBBEE and other frameworks, there is a board level attention, this is what companies should do, there is an expectation that companies should give back. Board members push it usually quite strongly, they push people to spend time and money – so the business money is there.

Annette: I am summarizing and then I ask them for the more personal motivation

T: Annette, I am saying for a personal motto in my life: it is my personal conviction that leadership has to make a difference not only by chasing profit, it is mainly the desire to make a difference also in other areas.

Annette; So what would you say – where for did for you or for other leaders this personal conviction come from?

T: It is definitely a belief in a bigger picture and the general wellness for society, to make sure that the world around us can be a better place and contribute to that while we are on earth, make this world a better place.

Annette: Did you notice for yourself that this conviction grew over the years?

T: interesting Q: For my personal life this conviction was always there and I noticed however climbing the corporate ladder that there is much more that businesses could do. And I was in the position that I can use and this evolved only over the time. And I am now almost 20 years in the business. And I am now also having budget for CSR activities and it is almost disturbing to notice

A: What other motives could you see:

T: So another one, which is also most certainly mine: It is to see the effect that it has on other people. It is not only about the money. But if you do other stuff. Like going with your people to paint school class rooms etc. that makes a difference. So also use your time. And the value form e is what it does to the people. It gives a sense of common purpose, it creates a sense of camaraderie, and it is serving factor. This is a great benefit, they do give time, it is fun – this is all immensely powerful. I remember last year we had the sustainability day – painting in the school and there was this butt in the office, it had created more community. This makes CSR very real and tangible, you can see where the money and the time goes.
A. Since you ask me in the beginning about my learning – I will share something and build my next questions on it – and I share internal and external CSR approaches – my questions is then: Have you been observing CSR internally

T: I think it is more and more people looking for carbon neutral building, e.g. we are moving office and we need to look for a building that has a certain number of stars. I can imagine in other industries where the supply chain is more in the focus they can focus more on the value chain. But we can also look a tour suppliers and check this out. But in our industry the most important risk is the reputational risk, so if we see someone who is not acting responsible

A. What do you think your company could do to motivate leaders for CSR:

T. Look, I think you can use BBBEE, a lot of different things, external things, but in my mind you are just chasing the numbers, but you should as a company make a principle point that it is the right thing to do, this is the jump card, I believe. So making it out of principles. That is the only way.

A. Those who act out of principle what do you think has got them motivated?

T: I like to believe that they are doing it because they think they do the right thing but I think in the long term I think they do it because it is best for the company. But I think the longterm aspect for the company is a good.

A: If you think about yourself – how do you motivate yourself?

T: You need to be true to yourself and you need to find time to do and you need to prioritize it in your diary. So you have to prioritize.

A. Do you have little tricks for you?

T: I like to plan ahead and how I spend the days so I try to put sometime in my calendar – So I like to look at CSR initiatives, actually in a week’s time I am having the CSI committee presenting to us. It shows us where we are spending money.

A. How do you motivate younger manager, if you see yourself doing that. How do you motivate others to join in ?

T: The most important by far is leading by example and beforehand to create a little bit of excitement around these things. CSR is not just something that needs to be done, CSR is something that is exciting and fun, it is an internal marketing piece; and in staff meetings we have dedicated time slots.

A: I am switching now to another question – a practical guidebook for manager which is the appendix to the PhD. So imagine yourself at the airport seeing a book like that what would you like to read.

T: ohhh, first of all: why it matters, what the biggest benefits would be, e.g. a benefits for employees, the camaraderie and how to get people on the same page regarding CSR

A: When did you feel engaged and excited, energized in connection with CSR?

T: when you physically contribute, like painting and then the second thing is when we get feedback from the CSI team – and they use pictures, that is engaging and powerful

A. And for you – a personal memory of your

T. Actually the first time I had my wife and children in the car and we drove by the school and this was rewarding I told them hey we did that, I definitely was proud of that: Share this experience with a wider group, the family not only

A. Do you feel you talk to your colleagues quite often about the CSR topics. Let us say on a scale from 1-10 (1 not at all, 10 a lot)

T: I think it is still low, so maybe four, not much higher that.
A: What questions could leaders themselves to drive CSR?

T: Where can we make a bigger difference and Simply keep questioning yourself is this a socially responsible thing to do? And maybe even though a decision is a sound one, is it in the very long term the best for the business, taking all other risks in to account.

A. How do you practice CSR within your teams: I heard you say some things but anything that you do that you have not mentioned yet.

T: maybe one thing to add, may be one things is an external things, e.g. we identify a topic like education, so we carefully planning of CSR is important, otherwise you give ten request money. So to have a focus is important.

A: Do you have a CSR manager – or is it for Swiss Re the CSR committee?

T: explains committee structure and how it meets.

A: I like to believe that every conversation makes a difference – did

T. It definitely highlighted it again for me that I need to have higher frequency of conversation about CSR.

A. Anything else?

T: No, I am good.
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Protocol Senior Executive H:

(Ich kenne ihn persönlich)

A. Was bedeutet CSR für Dich nochmals?
R: CSR bedeutet für mich, dass eine Firma in einem Land in dem es gravierende soziale Unterschied gibt– sich mit engagiert, so dass das soziale Niveau angehoben wird.

A: Spezifizierung von mir: Was ist Motivation der FJs und Deine dies zu treiben?
R: Oh, das ist schwer zu sagen. Für mich: z.B. Jugendarbeitslosigkeit zu verringern und Bildung zu verbessern
A: mein Nachhaken: ja, das sind Ziele aber was ist Deine Motivation, ja dein Glaube an die bessere Welt?
R: Puhh - Den glauben an die bessere Welt habe ich schon vor 50 Jahren verloren. Ich sehe CSR als eine Notwendigkeit, etwas, das eine Firma, die in einem solchen Umfeld arbeitet, einfach zu tun hat.
A: Was könnten andere Dinge/Motivatoren für andere Leute sein?
R: Ja eine Notwendigkeit, aber nicht weil sie von außen diktiert wird, sondern aus mir heraus. Wir können als Firma einfach nicht als Insel agieren in einem Land mit solchen sozialen Unterschieden.

A: Was macht Kühne & Nagel um Dich zu motivieren.
R: Nichts.
A: Gäbe es etwas, was die Firma tun könnte?
R: Die Firma kann da nichts tun, entweder sind die Leute motiviert und haben eine Antenne oder nicht.
A: Was machst Du um andere zu motivieren, z.B. Jüngere?
R: Die jungen Leute - ne, denn die sind die, die wir unterstützen wollen.
A: Die middle manager, vielleicht?
R: Ne, die sind so unter Wasser, für die ist das überhaupt kein Thema, die schaffen so ihre Arbeit kaum. Das hat keine Prio.
A: Wenn Du aktiv bist in CSR, erinnerst Du Dich an Momente, wo Du energetisierst bist.
R: Es geht immer darum junge Leute in Arbeit zu bringen und zu motivieren dann dabei zu bleiben. Und wenn ich da ein paar hab und wenn es 10%, die dabeibleiben, bin ich schon happy, das ist ne gute Geschicht-
A: also würdest du sagen, es ist der Fortkommen, das Umsetzen, ein Vorwärtskommen, was Dich treibt und freut....
R: Ja, das Fortkommen und dadurch eine größere Mittelschicht entsteht und wie wir wissen, das ist ja eine tragende Kraft.
A: Wenn du noch mehr als Rollenmodell agieren würdest, was könntest Du noch mehr tun?
R: ja, andere Leute zu begeistern, aber eigentlich müsste es ja von Ihnen kommen, aber naj, das man das eben darstellt und zeigt durch das und das haben wir das und das erreicht – aber dazu müssen auch all dran glauben?
A: Ist CSR Thema in der Geschäftsleitung?
R: Also ich kann Dir sagen, heutzutage gibt’s nur ein Thema und das ist zu überleben. Heutzutage wirst Du kaum Leute finden, die das machen, wir machen ein bisschen was, weil wir ein kleines Programm haben. Aber wir müssen viele Stellen abbauen und damit hast Du nicht allzuviel Ressourcen – daher CSR absolutes Randthema.
A: CSR Booklet für Executives – was sollte da rein, damit es Dich interessiert, was würdest Du Dir wünschen
R: Oh Gott, du kannst Fragen stellen... naja in einem solchen Buch sollten immer erfolgreiche Bespiele stehen, Vorbilder, mit denen man sich identifizieren kann.
A: Noch eine Idee?
R: nee, es geht in meinen Augen, um das, was man tut und den Effekt daraus.
A: Ich hacke nach – weil mein Gefühl ist, dass manche Abteilungen gar nicht wissen wie sie sich mit CSR beschäftigen können, welche Fragen sie sich stellen können, wie Sie darüber reden können...
R: ich bin der Meinung, dass es man nicht groß vermarkten muss, soll, es sollte kein wirtschaftlicher Vorteil daraus kommen müssen.
A: Also absichtslos
R: Ganz absichtslos tut keine Firma irgendwas – ganz sicher nicht....
A: Gibt es für Dich eine Beispielfirma? Die machen es gut?
R: z.B. Siemens, machen eine größere Gewinnmarge und hauen dann auch mehr Geld rein, dann können die natürlich auch mehr machen.
A: Glaubst Du, das die FKs noch mehr darüber informiert werden müssten, was CSR ist und was man da tun kann –
R: (Sehr spontan)... das wissen die, das weiß jeder....
A: ok – noch eine weitere Frage: Wenn Du in deine Arbeit schaust, auf das Du besonders stolz bist bzgl. CSR?
R: Ja zum Beispiel die Duale Ausbildung – (Stimme ganz anders), also wenn wir die Leute von der Straße holen und dann auch wenn wir einen Studenten unterstützen als Beispiel, der dann durch das Studium damit kommt und sonst hätte er es gar nicht geschafft
A: Hast Du zu einzelnen noch Kontakt?
R: Nee, nix, das geht auch schnell wieder unter.
A: Ich erinnere mich an Deine Erzählungen, daß die jungen Leuten für 500 Dollar wechseln.... R unterbricht...
R: ...für 500, ne für 100, sagen wir für 150... es gibt selten Identifikation mit dem Unternehmen
A: und woran glaubst Du das dies hängt?
R: Weil die nur nen Job machen und keinen Beruf, die haben keine Berufung...
A: Siehst Du dies SA spezifisch oder ist das überall so?
R: Ich glaube das ist überall so.
Appendix 6

CSR Inspiration & Activity Book For Leaders

CORPORATE SOCIAL RESPONSIBILITY

The Inspiration & Activity Book for Leaders

DRAFT:
First version, work in progress
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Never heard of CSR ...?! Here is what it is ...

The European Commission defines CSR as "the responsibility of enterprises for their impacts on society".

The UN sees it as “a vision of a sustainable and inclusive global economy which delivers lasting benefits to people, communities, and markets” and asks companies to embrace, support and enact, within their sphere of influence, a set of core values in the areas of human rights, labour standards, the environment and anti-corruption.

And a practical one for you: CSR is the way you think, talk and act with your stakeholders to drive the common good within your company and beyond.
Concerning and encouraging facts about CSR

Seventy-three percent of consumers across the 15 largest markets in the world are willing to recommend companies that are perceived to be delivering on Corporate Social Responsibility. The problem is that only 5% of companies are seen as delivering on these promises. And when you spend on average $50-100 million a year that’s a poor ROI.

(Forbes, October 2013)
The misunderstanding about the S in CSR ...

Corporate Social Responsibility is not only about SOCIAL.

There are three dimensions:
Economi
Best practice examples that give hope ...
Ever heard about the UN Global Compact?

It is the world’s largest corporate sustainability initiative! It is a call to companies to align strategies and operations with universal principles on human rights, labour, environment and anti-corruption, and take actions that advance societal goals.

Founded in 2000, UN Global Compact currently represents the largest CSR platform in the world with close to 12,000+ signatories in 170 countries.

Additional information and resources
The international website of UN Global Compact http://www.unglobalcompact.org

And by the way do you know one of the UN Global Compact principles – there are ten!
The ten principles of the UN Global Compact

**Human rights**
- Principle 1: companies are asked to support and respect the protection of the international human rights within their scope of influence and
- Principle 2: make sure that they are not complicit in human rights violation.

**Labour standards**
- Principle 3: companies are asked to respect the freedom of association and the effective recognition of the right to collective bargaining as well as additionally vouch for
- Principle 4: the abolishment of all forms of forced labour,
- Principle 5: the abolishment of child labour and
- Principle 6: the abolishment of discrimination associated with hiring and employment.

**Environmental protection**
- Principle 7: companies are asked to support a precautionary approach when dealing with environmental problems,
- Principle 8: adopt initiatives to generate a greater sense of responsibility for the environment and
- Principle 9: support the development and distribution of environmentally-friendly technologies.

**Combating corruption**
- Principle 10: companies are asked to fight any kind of corruption, including extortion and bribery.
CSR exists at different quality levels ... What level is your company playing on?

**CSR 3.0**
External CSR Driver
Acts as political co-creator with governments and other stakeholders

**CSR 2.0**
Internal CSR Driver
Creates economical and societal added value through integrated CSR Management & Strategy

**CSR 1.0**
CSR Giver
Offers philanthropy and social giving

**CSR 0.0**
Rule Follower
Is economically and legally compliant

Maturity level of CSR in your company
(each level above includes the level below)
Different Stages of CSR show an encouraging evolution – be part of the change

Source: Wayne Vissner Vortrag
CSR exists in a family of related terms ... do not let yourself get confused

They all belong to one family...
The top trends in CSR for the next decade
Your leader role models could be ... 

Ray Anderson

....
Challenge yourself ...

Involve every week 2 new people in a conversation about CSR.
Reflection time

What made you proud when you heard that your company is doing this or that project in the CSR arena?
Challenge yourself ...

Today’s activity
Your dreams – if the sky has no limits – how would you make the world a better place, starting tomorrow – what is your personal contribution?
What are the top 5 companies concerned with CSR in the world? Take a guess:
Imagine ...

You would have to prepare a CSR info day for a high level delegation from a country you want to invest in. They will make their „go“ depending on your CSR strategies.

How would arrange that day, what would you present and why?
Motivation and CSR ...

If you had 20% work taken off your agenda, what would you do for CSR?
What holds you back to promote CSR inside and outside the organization?

List the main issues and think about how to overcome them?
What CSR questions can you ask yourself, if you are a

Finance Manager
Marketing Manager
Production Manager
HR Manager
Communication/PR-Manager
(http://mediacsrforum.org/home)
R&D Manager
Legal Manager
Quality/Environmental Manager
(for Tips see pages xy)
Challenge yourself ...

Today's activity...
Ask a child/your child, if you were the king or the queen of the world, what would they expect you to do to keep the planet alive and enjoyable?
What do you know about your company’s achievements when it comes to internal and external CSR strategies?

....
Choose a CSR behavior you want to practice this week 😊

Take leadership practices research or Vissner for list of behaviors ...(And/or create a card deck around it... And add to the book)
HEAD
HEART
GUTS

CSR Leadership behavior ...
Reflect: Millennials want to work for employers committed to values and ethics

Today’s Activity:
Ask two colleagues at the age between 25 and 30 years what it means for them to work at a company that focuses on CSR?

http://www.theguardian.com/sustainable-business/2015/may/05/millennials-employment-employers-values-ethics-pbs
Your CSR legacy ...

Stephen Covey reminds us that all people have four basic similar longings:

**To Live** – enjoy life (to feed the body)

**To Love** – find partners (to feed the heart)

**To Learn** – new skills (to feed the mind)

**To Leave a Legacy** – a lasting reminder (to feed the soul)

What do you want your CSR legacy to be, what do you want to leave behind, to be known for?
Moral testing ...

When you have a tough decision to make, run the following tests:

*The smell test* – Does it smell ok?

*The sleep test* – Will it keep me awake at night?

*The newspaper test* – how will it look on the front page of the newspaper?

*The mirror test* – Do I still like to look in the mirror in the mornings?
Heart-Math...
Meditation & Mindfulness for CSR

Info von Tania Singer
Conscious and unconscious CSR ...

Creatively competent
Unconsciously competent
Consciously competent
Consciously incompetent
Unconsciously incompetent

Give examples!
Work with your team:

Today start your team meeting with the following joke and question!

Choose from the book!
CSR as a business case

With your team discuss:
What makes the CSR solution of the company a promising business case?
What economic benefits are expected for the company thanks to the CSR solution and how do you assess these results?
Which financial and which non-financial consequences may arise for the company if A) it increases its CSR commitment or B) suspends its CSR commitment?
Main overview on CSR measurements (GRI)

Discuss with a colleague:
What are the 3 long-term CSR measures in the company's core business? Which departments are the CSR measures assigned to?
What are the 3 long-term CSR measures in the company's environment? Which departments are integrated into these measures?
The Values square for CSR
Prof. Dr. Josef Wieland, Constance University

Performance values
› Benefits
› Qualification
› Willingness to perform
› Flexibility
› Creativity
› Focus on innovation
› Quality

Communication values
› Respect
› Belonging
› Openness
› Transparency
› Communication
› Willingness to assume risks

Cooperation values
› Loyalty
› Team spirit
› Conflict management skills
› Openness
› Focus on communication

Moral values
› Integrity
› Fairness
› Honesty
› Contractual fidelity
› Responsibility

http://www.htwg-konstanz.de/English.20.0.html
Questions Catalog ...
(from the EU-project Innotrain, 10/2010)

General opening questions about CSR
› Why are companies concerned about the environment and social affairs?
› In which areas are companies assuming responsibility?
› What is driving the CSR commitment in your company?
› Where would you like your company to become engaged in?
› Which companies are particularly successful with the realisation of CSR?
› Which companies would you “never buy” CSR from and why?
› What future CSR goals is your company pursuing?

Opening questions about CSR at the work place
› What is the first thing you, as an employee would change at your company?
   (Change of perspective if this is a group of employers: What would your employees...)
› Why would you recommend your company to family and friends as a “good employer”?
› How are employees integrated into the decision making process concerning important matters?
› How are you planning to develop your qualifications and long-term professional perspectives within the company?
› Are you familiar with the working conditions of employees at own companies or suppliers abroad and what is your opinion about them?
› Are a concept or codes governing the ethical co-existence available within the company?
› Who do you contact at the company in difficult situations or if you wish to propose improvements?
Questions Catalog ...
(from the EU-project Innotrain, 10/2010 - www.csr-training.eu )

Opening questions about CSR on the market:
- How good is your knowledge of the ecological and social impacts of your products?
- How do you make sure that your customers are properly, completely and intelligibly informed about products and services?
- Do you know under which ecological and social conditions your suppliers and business partners work, especially those abroad?
- Is your company settling invoices from suppliers and sub-contractors timely and fairly?
- Is your company cooperating in the development of CSR, for example in your industry within the network of other companies?
- Is your company generating competitive advantages or an increased turnover thanks to CSR?

Opening questions about CSR relating to environmental topics
- Are you recording the environmental impacts of your company, e.g. the energy consumption or waste generation?
- How are you reducing the negative environmental impacts within your company?
- Are possible environmental impacts a criterion when developing new products or services (e.g. energy consumption, life time, recycling)?
- Are you informing customers, business partners or the local surroundings about the environmental impacts emanating from your company?

Opening questions about CSR in the community
- From the company's point of view, what are the problems in the community at your location?
- What developments have a negative or positive effect on your company and what can your company do about it?
- Are you as employee encouraged or supported to participate in the local community?
- How could the social commitment of employees and the company overall be integrated into the human resources development and the corporate concept?
- Is your company communicating social commitment to employees, customers, business partners and the public?
- Is your company leading an active dialogue with external experts and stakeholders from the community or other areas?
Your CSR Team Compass
Test yourself and the team: Quiz on CSR (and BBEEE?)
A Team effort: CSR and your value chain:

Value chain= Raw material, transport, production, transport, trading, consumer, disposal
How do people recognize that your company is sustainable?

- How does the local community recognise this?
- How do our customers recognise this?
- How do the employees or their family members and friends recognise this?
- How do our suppliers and business partners recognise this?
- How do the banks recognise this?
- How do competitors recognise this?
- What effects does this have on the industry?
- What effects does this have on the environment?
The CSR World Cafe
Exercise: Create a Stakeholder Map für CSR contacts internally und externally

Typical stakeholders include shareholders, customers, employees, the local population (citizen's groups, if applicable), authorities, media, NGOs and consumer protection groups.

Draw a map for your company:
Books you might like ...

More books on:
http://www.csrwire.com/books?page=2
http://www.apaexcellence.org/resources/goodcompany/newsletter/article/446
Magazine to look out for:

› Business Ethics Quarterly (BEQ)
› Business Ethics: A European Review (BEER)
› Business and Society (BS)
› Business and Society Review (BSR)
› Economics and Philosophy (EP)
› Journal of Business Ethics (JOBE)
› Journal of Corporate Citizenship (JCC)
› Journal of Human Values (JHV)
› Teaching Business Ethics (TBE)
› Zeitschrift für Wirtschafts- und Unternehmensethik (zfwe)
Helpful links

- Csrwire.com
- http://www.karmakonsum.de
  (explanation underneath...)
- http://www csrinternational.org
- http://csr-news.net/main/
You tube clips to see and show ....

- http://www.ted.com/talks/michael_porter_why_business_can_be_good_at_solving_social_problems
- http://www.ted.com/talks/ray_anderson_on_the_business_logic_of_sustainability
- http://www.waynevisser.com/video/csr-is-failing-how-can-we-make-it-succeed-video
- Sacred Economy, from Charles Eisenstein
  https://www.youtube.com/watch?v=EEZkQv25uEs
- (explanation underneath...)

...
A nice tool to have in your company....

CHARLESTON, S.C. - Nov 05 /CSRwire/- Good Done Great announced today that they have acquired AmeriGives. The acquisition positions Good Done Great to become the leading provider of technology enabled corporate social responsibility services.

The acquisition rounds out a pivotal year for Good Done Great who recently released a cutting edge CSR technology suite that offers the industry’s only fully integrated solution for workplace giving, corporate matching & grant making, and employee volunteer programs. Good Done Great also increased their talent base – adding 20 new employees, and expanded their professional services offering to include domestic and international disbursements of corporate and employee donations to charities, program management support and expanded training programs.

“Good Done Great has always been, and continues to be, committed to inspiring revolutionary philanthropy,” said Earl Bridges, President and co-founder of Good Done Great. “The highly experienced AmeriGives team will help us help move the needle forward that much faster.”

Providing services since 1978, AmeriGives is the longest tenured corporate philanthropy service provider in the industry. They bring with them to Good Done Great 32 clients and a staff of 15.

“Joining Good Done Great is an ideal next step for AmeriGives and our clients,” said Gary Carr, President and CEO of AmeriGives. “The GDG 2.0 software is industry-leading, and their commitment to charitable giving innovation is unparalleled. We are excited.”

About Good Done Great

Good Done Great revolutionizes the way corporations and individuals give back to the communities and causes they care about. Through strategic consulting supported by our integrated software solutions, the Good Done Great team helps Fortune 500 and other companies maximize their corporate social responsibility (CSR) programs.

Launched in 2009 and headquartered in Charleston, South Carolina (with offices in Tacoma, Washington and Denver, Colorado), Good Done Great was certified as a B Corp in 2012. More than 1.4 million employees currently rely on GDG’s innovative tools and more than 65,000 non-profits benefit from Good Done Great’s broad philanthropic reach.

About AmeriGives

AmeriGives has been supporting corporate giving programs for over 37 years. Headquartered in Northern Virginia, with operations in Stuart, FL, AmeriGives clients represent nearly 1 million employees who in turn give $20 million annually to more than 15,000 charities.
Distribute quotes/poem in the book

Act as if what you do makes a different. It does. – William James

Be the change that you want to see in the world. – Mahatma Gandhi

I have found that among its other benefits, giving liberates the soul of the giver. – Maya Angelou

Make it a point to do something every day that you don’t want to do. This is the golden rule for acquiring the habit of doing your duty without pain. – Mark Twain

We need to help younger people recognize their own capacity to do good, and help them discover the rewards of generosity. – Bill Clinton

Wherever a man turns he can find someone who needs him. – Albert Schweitzer

Ants are good citizens; they place group interests first. – Clarence Day

Everything great in our world only happens because someone is doing more than they are required to do. – Hermann Gmeiner (1919-88), social pedagogue and founder of the SOS Children’s Villages.

You can resist an invading army, but you cannot resist an idea whose time has come. – Victor Hugo

Earth has enough to satisfy every one need, but not everyone’s greed. – Mahatma Ghandi

Focus on the people and the numbers will come. Focus on the numbers and people will go. – William Topeta, President MetLife International

Everyone is chasing growth. The question for me is whether the growth that is being chased is good growth? A growth that is real, inclusive, responsible and lasting—one which optimizes the impacts on society. Companies need to be able to measure their wider impacts on society.” – Tom Bagan, Director, Sustainability & Climate Change, PwC
A Poem from a radical industrialist ....

Ray Anderson: Confessions of a Radical Industrialist - Tomorrow's Child © Glenn Thomas

Without a name; an unseen face and knowing not your time nor place Tomorrow's Child, though yet unborn, I met you first last Tuesday morn.

A wise friend introduced us two, and through his sobering point of view I saw a day that you would see; a day for you, but not for me

Knowing you has changed my thinking, for I never had an inkling That perhaps the things I do might someday, somehow, threaten you

Tomorrow's Child, my daughter-son I'm afraid I've just begun To think of you and of your good, Though always having known I should.

Begin I will to weigh the cost of what I squander; what is lost If ever I forget that you will someday come to live here too.
Living more sustainably isn’t a hippie thing. It’s a survival thing.
You have not lived today until you have done something for someone who can never repay you.
— John Bunyan

verybestquotes.com
Distribute jokes across the booklet

All pics from:
Distribute jokes across the booklet


Distribute jokes across the booklet


“Harry, it’s environmental awareness week, paint some of the machines green.”

Appendix 7  Diagnostic Scheme for Motivation from Rheinberg and Vollmeyer (2012)

**Questions**

- Is the work as such fun?
- Is the work expected to be done?
- Does the work create a result?
- Does the work have rewarding consequences?
- Can I influence the result through my work?
- Is the work aversiv or do I have to give up sth.?
- Do I have enough competence in self-regulation?

**Motivation-Formats**

- Self-initiated, spontaneous work
- Work that is externally controlled
- Self-driven work
- Self-controlled work

**Motivation-Problems**

- Total motivation deficit
- Stimulation deficit
- Impact deficit
- Volition deficit

Note: Translation from German into English by Annette Thum
Appendix 8  Ideas Paper on a CSR & HR collaboration to maximize BBBEE benefits

CSR & HR Project Collaboration to Maximize BBBEE benefits

04. February 2014

“Action without vision is only passing time, vision without action is merely day dreaming, but vision with action can change the world.”

- Nelson Mandela
Overview

1. Context & Goals of CSR project 3
2. Learning Content & Potential Methods 4
3. Learning Architecture of CSR Project 5
   - Selection 6
   - Matching 7
   - Training 8
   - Mentoring 9
   - Monitoring 10
4. External and Internal CSR Project Support 11
5. Timeline & Next Steps 12

Context & Goals of CSR/HR project

- The following project idea contributes to BBBEE regarding skills development, socio-economic development, corporate volunteerism.
- The project will support 12 students being in their last year of academia.
- The project will train the students with skills that help them to successfully enter the workforce.
- The CEO is sponsoring this project and about 12 executives have roles as trainers and mentors.
- The internal executives need to be properly prepared for their roles.
- The project will last approx. 6 months and is embedded into an external PhD project/external support.
- The main goals of the CSR project are:

  1. To contribute to society
  2. To connect students to company
  3. To involve internal company leaders
Learning Content & Potential Methods

**The following contents could be covered**
- Presentation Skills & Public Speaking
- Communication in English
- Basic IT skills
- Life & Career Planning
- Behaviours and Ethics
- Self-Responsibility
- Financial Planning
- Conflict Management
- ……

**Various Methods can be used**
- One-on-one mentoring through executives
- Group training classes held by executives or external trainer
- Student peer group collaboration (3 groups of 4)
- Reading material for executives and students
- Student peer group teaches student peer group
- Presentation of students in front of executives
- ……

Learning Architecture of CSR/HR Project

**Selection of executives & students**
- Matching of executives & students

**Training:**
- Each executive and/or an external expert teaches a 0.5 to 1-day training class. (Approx. 8 content modules in 6 months)

**Mentoring:**
- During the 6 months each mentor meets with his/her mentee 8 times for about one hour.

**Learning theme:** Be best prepared for Work Life

**Further Elements could be build in:**
- Student peer group assignments
- Student peer group presentations
- ……
Selection

Selection of Executives
- CEO letter invites executives to participate in project; make it exclusive
- HR Rep/external support: Interview with everyone, informs and double check commitment and interest
- HR Rep collects potential training topics from executives
- Executives go through a half day training on mentoring; handout needs to be prepared
- Executives need to share their training design with HR Rep and external support
- Question: What are consequences if executives do not follow the commitment?
- ...

Selection of Students
- HR Rep and external support define criteria for student collection
- HR Rep searches students with the help of University Professor at UJ and UNISA (gender mix ideal)
- Students are welcomed in a half day prep training for their 6 months intensive learning project
- Students are assigned into peer groups for parallel learning processes - process handouts needed
- ...

Matching

Matching Ideas of executives and students:
- Idea 1: HR Rep/external support are responsible for the matching and choose the tendems; they meet to check „chemistry”
- Idea 2: HR Rep/external support present each executive three profiles, so they can choose their mentees; they meet to check „chemistry”
- ...

Material (to be handed out prior to matching phase):
- A handbook for executives needs to be prepared, it explains the program flow, what their role is, what the benefits are, what they should contribute etc. The executives also need to sign a handout/commitment that they support the project over the 6 months.
- A handbook for the students needs to be prepared. They also need to understand the process, their rights and responsibilities etc. The students also need to sign a handout/commitment that they actively participate in the project over the 6 months.
- ...
Training

**Aspects regarding the training:**

- Students will receive 8 content sessions for either a day or half a day. Participation is required. The training sessions will take place at company’s location.
- Students will receive material to pre-read.
- Executives do not only need to know about the content area, but more importantly they need to have a talent and the patience to teach it. Not all executives will need to teach.
- Learning material needs to be prepared; it should come in „one layout”; clarify internal and external responsibilities for that activity.
- ....

Mentoring

**Aspects regarding the mentoring:**

- What is Mentoring: Mentoring is a personal developmental relationship in which a more experienced or more knowledgeable person helps to guide a less experienced or less knowledgeable person. However, true mentoring is more than just answering occasional questions or providing ad hoc help. It is about an ongoing relationship of learning, dialogue, and challenge.
- Executives need to get a basic training on mentoring and coaching to be able to support their mentees properly.
- Executives and participating students should get some process help on how to structure their 8 mentoring sessions.
- Participating students and executives are encouraged to keep a personal learning journal throughout the project.
- When the last training and mentoring sessions are over: the HR responsible/external support should sit with each executive and student to evaluate the learning success; potentially the conversation can also be carried out in one joint session per tandem.
- (To close the overall project an event could be arranged to hand out „certificates” and congratulate participants.)
- ....

Measuring/Monitoring

**Aspects of the Measuring/Monitoring:**

- Successful criteria of this CSR project could be: Connection to company’s core business, fit of project into company’s strategy, active participation of executives; contribution to B-BBEE scoring system; potential hiring of participating students; reputation building at universities and communities.....
- KPIs for this project need to be jointly defined.
- Upfront interviews/questionnaires to test on KPIs are needed.
- Closing interviews/questionnaires on KPIs after 6 months are needed.
- Data needs to be feasible for PhD study.
- .....
External & Internal CSR/HR Project Support

Annette Thum (external support)

- Leadership Consultant and PhD Candidate at the Tilburg University, Netherlands
- Degrees: Master Degree in International Politics, Economics and American Studies; Harvard Degree in Conflict Settlement; various psychological qualifications
- Professional experience: Executive at Daimler/Mercedes; Principal at Strategy Consultancy Oliver Wyman; today: independent consultant for skills development, leadership, team reflection, coaching, mentoring, change support etc.

E.g. Siemens (internal support)

- Internal roles and support need to be defined
- Internal support from HR is needed
- Crucial is also active CEO support and strongly involved GMs as Sponsors
- ...

Suggested Timeline & Steps

<table>
<thead>
<tr>
<th>Timeline</th>
<th>6 Months</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preparation Phase</td>
<td>1</td>
</tr>
<tr>
<td>Selection</td>
<td></td>
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<tr>
<td>Matching</td>
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<tr>
<td>Training</td>
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<tr>
<td>Mentoring</td>
<td></td>
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<tr>
<td>Monitoring</td>
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</tbody>
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Note: Will need to be filled after further conversations

Next Steps:
- Discuss this document and finalize it (by Feb 7).
- Get approval from HR Director (Feb 14).
- Involve executive board (end of Feb)
- Create detailed project plan (first week of March).
- Start project ideally by mid April 2014.
Appendix 9  

Invitation letter from the German Chamber of Commerce (GCoC) to support my research study

AHK Südafrika, P.O.Box 87078, Houghton, 2041
Siemens (Pty) Ltd
Ms Sabine Dall'Omo
300 Janadel Avenue
Halfway House
Midrand
1685

Re: Doctorate Research
Johannesburg, 3 June 2014

Dear Ms Dall‘Omo,

Ms Annette Thum, a specialist in leadership development, team building, and executive coaching is currently busy completing her doctorate studies on the topic of „Leadership & Corporate Social Responsibility (CSR) of German based companies in South Africa“.

Her hope for the outcome is to assess the current internal CSR situation in selected German companies, to compare findings and to use the findings to potentially create practical leadership tools to drive CSR even further in the organisations. Ms Thum’s approach is to interview 4-5 executives, including yourself, from selected German companies in South Africa and to consolidate the data by August 2014. The data will then be presented to interested executives and CSR managers at a date which is to be confirmed.

The CSR Competence Centre and CSR managers representing the member companies at the centre, have supported Ms Thum throughout the initial phase of her research and would appreciate it if you could lend your support to her even further by making yourself available for an interview, either in person or via telephone, in order for her to conduct her research to give a true reflection of the connection between leadership and CSR in German based companies in South Africa. All data will be treated with care and anonymously.

Kindly find attached more information about the proposed research as well as the list of questions which would be used during the interview.

Kind regards,

Cordelia Siegert
Competence Centre: Corporate Social Responsibility

Southern African-German Chamber of Commerce and Industry NPC - Reg. No.: 1963/002981/69
P.O. Box 07679, Houghton 2041 / 67 Oxford Road, Forest Town 2193, Johannesburg
Telephone: +27 (0)11 486-2775 / Telefax: +27 (0)11 486 37 29
E-mail: info@gemanchamber.co.za / Website: www.gemanchamber.co.za

Directors: Mr B Denauer, Mr S Niebler, Mr C Keltov, Mrs P Farkas, Mrs M van der Walt-Kursten, Mr S Phalatse, Mr S Pback, Mr M Boldenbergs ("German")

Supported by: Federal Ministry for Economic Affairs and Energy on the basis of a decision by the German Bundestag
Appendix 10  Attached information to invitation letter of the GCoC

Attached information to invitation letter of the GCoC

Annette Thum
PhD student at Tilburg University & Taos Institute
Große Hamburger Str. 15
10115 Berlin, Germany
phone: +49. 175. 721 41 90
email: annettethum@gmail.com

Berlin, June 2nd, 2014

**Doctoral Research Title:**
Leadership & Corporate Social Responsibility (CSR) of German based companies in South Africa

Dear Ladies and Gentlemen,

Today I am reaching out to you to ask for your support with my doctoral research study. Next to my regular work as a leadership consultant I am currently writing my PhD/Doctorate on the topic of „Leadership & Corporate Social Responsibility (CSR) of German based companies in South Africa“.

For your information, please see attached a brief biography with information on my professional background (Appendix).

In the following pages I am briefly describing to you:

- Purpose/Outcome of my doctoral research study
- Approach and timeline of the doctoral research study
- Description of the practical support I am asking you for (plus an interview questionnaire)
- The benefits you get from participating in this doctoral research study

Thank you in advance for your consideration to support this PhD research.

Please feel free to contact me on +49 175 7214190 or via email annettethum@gmail.com.

Kind regards,

Annette Thum
Purpose/Outcome of the study:
With my doctoral research I would like to contribute to the connection between CSR and leadership in general. In specific, I am interested how this connection is handled in the emerging market, South Africa. In emerging markets growth is usually the leading paradigm and thus my hypothesis is that the tension between money making and corporate responsibility is even more difficult to manage. I am curious to learn more about the CSR understanding of leaders in South Africa - how they define CSR, how they contribute to it, what benefits and challenges they see in practicing CSR and what future potential they connect with it. My hope for the outcome is to assess the current internal CSR situation in the respective firms, compare findings and to use findings to potentially create practical leadership tools that drive CSR even more into the organizations.

Approach & Timeline of the study:
My approach is to interview 4-5 executives including the CEO from selected German headquartered companies (e.g. BASF, BMW, Mercedes, Siemens, Volkswagen).
Regarding the timeline:
- Literature research is completed
- First research trip in Q1 2014 to South Africa is accomplished
- Personal or phone Interviews are planned for June/July 2014
- Consolidation of data by August 2014
- Presentation to interested CSR managers and executives - date tbd
- Final results to be expected by Q4 in 2014
- Doctorate finished in Q1 2015

Your support:
I would be delighted to get the following support from you:
- 1 hour of your time for an interview either in person or via phone /skype (interview questions see appendix)
- Your help to encourage 2-3 executives plus the CSR managers of your company to also participate in a 1 hour interview

Your benefits participating in this research:
- You get a pulse check on how leadership and CSR is connected in your organization
- You can learn through comparison to other companies – (data however is treated anonymously)
- You can use potentially developed tools for free to drive CSR into your organization
Appendix 1:
Questions for executive interviews

General data about the executive will be collected in the beginning:
Such as name, title, years in position, gender, ethnicity, functional/educational background, number of direct reports and head count.

Structure of interview:
It is a semi structured interview which will take approximately 45 minutes to an hour. I am structuring the interview along the four big clusters of: Understand/define, apply, promote, envision (it is a variation of the Appreciative inquiry model: Discover, Dream, Design, Deliver).

Questions:

<table>
<thead>
<tr>
<th>No</th>
<th>Question</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>What do you connect with Corporate Social Responsibility (CSR) when you hear the term? How do you define it?</td>
</tr>
<tr>
<td>2</td>
<td>When was the first time you got in contact with CSR? In what way?</td>
</tr>
<tr>
<td>3</td>
<td>How is CSR relevant in your daily professional life?</td>
</tr>
<tr>
<td>4</td>
<td>If, how does it influence the way your lead?</td>
</tr>
<tr>
<td>5</td>
<td>What are leadership characteristics/behaviors that support a CSR approach?</td>
</tr>
<tr>
<td>6</td>
<td>What are ways you incorporate CSR into your daily decision making?</td>
</tr>
<tr>
<td>7</td>
<td>Would you say you act as a role model for CSR – if yes why, if no why – what could be helpful resources for you to role-model even more?</td>
</tr>
<tr>
<td>8</td>
<td>On a scale from 1-10 (10 being the best) how well do you feel supported from your CSR department/responsible?</td>
</tr>
<tr>
<td>9</td>
<td>How do you believe CSR is currently lived and practiced in your organization?</td>
</tr>
<tr>
<td>10</td>
<td>What are 1 or 2 CSR examples and cases from your organizations that you are proud of?</td>
</tr>
<tr>
<td>11</td>
<td>What could you do/are you doing to promote CSR in the organization?</td>
</tr>
<tr>
<td>12</td>
<td>What do you think is possible when it comes to CSR in your organization, what could be an ideal future, what best practices would you want to see implemented?</td>
</tr>
<tr>
<td>13</td>
<td>What could get in the way to realize this vision?</td>
</tr>
<tr>
<td>14</td>
<td>How could you overcome these hurdles?</td>
</tr>
<tr>
<td>15</td>
<td>Overall, if you would have to give yourself a rating on your personal CSR performance – how would you rate yourself? (scale from 1-10, 10 being the best)</td>
</tr>
<tr>
<td>16</td>
<td>If you would have to rate your organization on its CSR performance overall, how would you rate it? (scale from 1-10, 10 being the best)</td>
</tr>
</tbody>
</table>
Appendix 2:  
Biography Annette Thum

Annette Thum’s expertise is in leadership development, team building, and executive coaching. She works with executives of Fortune 500 organizations across different industries and regions.

Working as a principal consultant, first for the international management consulting firm Oliver Wyman, now independently, Annette has designed and implemented innovative leadership development projects, created team events, lead change-processes and coached over 500 executives worldwide. A selected client list includes Allianz, Deutsche Bank, Discovery Networks, E.ON, General Electric, Johnson & Johnson, Hiscox, Laxxess, McDonald’s, Mercer, Novartis, PratekSat1, and United Nations World Food Program.

Prior to her consulting role, Annette gained valuable management experience in the media business as well in her ten years at Daimler, where, among her other assignments, she headed a three-year culture change project with Freightliner LLC in the US. She completely reorganized the learning landscape and worked closely with the Board to create a new vision and value model for the company, supporting the business strategy. She also drove various strategic PMI projects, led the International Transfer Center for Africa & Europe, and successfully consulted with different Daimler business units as an Executive Management Development Director.

Annette enjoys working within the corporate environment and strongly believes in cross-sector collaboration. Therefore, she also serves NGOs and governmental organizations trying to bring different parties together. She supported various health centers in Rwanda with trainings on management and leadership and recently returned from Ethiopia, where she facilitated an emergency-planning meeting with 100 participants for the UN World Food Program.

In addition to her master’s degree in International Politics, Economics, and American Studies, Annette holds a Harvard University certification in conflict settlement as well as various psychological certifications (e.g., in Gestalt, NLP, Coaching and Systems Thinking) and is familiar with different assessment instruments (e.g., MBTI Step II, FIRO-B, CDP, Hogan Suite and various 360 Feedback Profilers). Annette also serves as faculty and coach for Duke Executive Education. Her style is direct and supportive, and her pragmatic approach serves her in identifying new effective client solutions.

A native German speaker, Annette is fluent in English and has familiarity with both French and Spanish. She has worked in over 30 countries and lives with her partner and his children in Berlin.