



# Global Compact International Learning Forum Meeting

22 -24 November 2006, Ghana

Final Report  
10 case studies



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## **EXECUTIVE SUMMARY**

On 22 – 24 November 2006, the UN Global Compact's 4th International Learning Forum Meeting was convened in Accra, Ghana. Marking the first time the Global Compact hosted an international forum in Africa, the meeting brought together nearly 200 representatives from business, civil society and government to discuss the opportunities and challenges related to implementation of the Global Compact's ten principles and undertaking partnerships for development. The three-day Learning Forum included formal plenary sessions and case study sessions, as well as informal "open learning space" where participants convened their own small discussion groups on dozens of questions that, if answered, could help advance the corporate citizenship agenda.

### **Plenary sessions**

Three plenary sessions were held throughout the forum:

The Opening Ceremony was chaired by **Nana Dr. Samuel K. B. Asante**, President of the Ghana Academy of Arts and Sciences and Former Director of the UN Centre on Transnational Corporations, New York. Asante stated that he had "no doubt that this imaginative initiative founded on voluntary participation and by good sense and a profound appreciation of the common good ... will prevail".

**Joyce Aryee**, CEO of Ghana Chamber of Mines and Chairperson of the Ghana Steering Committee of the Learning Forum, laid out the meeting's key objectives, which included: sharing and discussing challenges, as well as lessons learned, in implementing the Global Compact principles and partnerships; empowering participants to become change agents within their organizations; and contributing to the success of the Global Compact in Africa.

**Christophe Bahuet**, UNDP Resident Representative A.I., reiterated the Global Compact's call to the UN, business, labour and civil society communities to forge partnerships and cooperation that will lead to a convergence of business interests and universal principles.

**Honourable Allan Kyerematen**, Ghana's Minister of Trade, Industry, Private Sector Development and President's Special Initiatives, focused his remarks on the challenges that the Global Compact faces in scaling-up its efforts and stated that the only way to encourage the corporate sector to more broadly redefine corporate visions and missions, business strategies and practices is for the Global Compact to be seen as a rewarding business proposition.

In a Panel Debate entitled "The Role of Business in Society: Dilemmas, Impacts and Opportunities", **Klaus Leisinger**, Special Advisor to the UN Secretary-General on the Global Compact (until January 2007) and Head of the Novartis Foundation, demonstrated the complexity of the issue of business and human rights by sharing experiences from the work of Novartis to integrate human rights issues into the company's strategy and practices.

**Mary Robinson**, President of Realizing Rights: The Ethical Globalization Initiative and a Member of the UN Global Compact Board, pointed out that she, as well as others in the human rights community, have come to see that in the 21st century, business can – and must – be an agent for positive change. She argued it is critical for multi-stakeholder efforts and dialogue on the issue and that every organ of society has a responsibility to play in helping to realize human rights.

**Knut Kjaer**, Chief Executive of Norges Bank Investment, focused his remarks on the importance of corporate governance and responsible business practices – and the role that asset managers can play in demanding such behavior by companies in which they invest.

**Andani Alhassan**, Managing Director of Stanbic Bank Ghana, discussed how markets and wealth can be used to create sustainable societies.

## Executive Summary

In the Closing Plenary, participants shared thoughts on the meeting and the Global Compact, more generally. Comments were wide-ranging in scope, suggesting that interests and levels of sophistication on the topic of corporate responsibility were highly varied among participants. Many people commented that they were leaving the meeting with more knowledge and resolve to take action in their own sphere, as well as share information with peers who were less knowledgeable on the topic. Another point of agreement was the need to strengthen and expand the capacity of Local Networks. Many meeting participants were involved in the Global Compact locally and faced issues with scaling-up interest and incentives for business, civil society and labour to become engaged.

Following the round of comments by participants, formal closing remarks were made. **Ulrike Haupt**, Head of Department at the German Ministry for Economic Cooperation and Development (BMZ), emphasized the importance of all sectors understanding both the need to work together and how to work together. **Futhi Mtoba**, Chairman of the Board of Deloitte Southern Africa and a Member of the UN Global Compact Board, remarked that while there were many questions and only limited answers, participants must remain committed to finding solutions to the complex challenges placed on various stakeholders. **Mary Robinson**, President of Realizing Rights: The Ethical Globalization Initiative and a Member of the UN Global Compact Board, concluded by stating that the true test for the Global Compact is whether the initiative can become meaningful to business and other stakeholders at all levels, recalling a quote by Eleanor Roosevelt that human rights must matter “in small places, close to home—so close and so small that they cannot be seen on any map of the world”.

In closing, **Joyce Aryee**, Chief Executive of the Ghana Chamber of Mines and Chairperson of the Ghana Steering Committee of the Global Compact Regional Learning Forum Meeting, posed a question to meeting participants: where do we go from here? She reiterated a shared feeling that there were more questions than answers, but challenged participants to remember that “we are the people that can make the principles come alive – whether in academia, civil society, business or labour”. She argued that a person does not need to be at the highest level to bring about change – changes start small and then expand. Aryee encouraged those gathered at the meeting to “be part of this change”, citing that the space for dialogue and action exists through the Global Compact.

### Case study sessions

Nearly a dozen case studies and shorter case examples were presented for discussion during the meeting. In each case study session, a moderator and resource persons presented the cases and provided direction and questions for participant dialogue. Main issues addressed by the case studies included: conflict prevention and peace building; company-community relations; collective action against corruption; business, human rights and labor rights; and partnerships for development. Case studies included: AngloGold Ashanti in the Democratic Republic of Congo; Global Alumina’s efforts to mitigate conflict-related risks in the Republic of Guinea; Multi-Stakeholder negotiation in combating corruption in Malawi; ABB’s operations in Sudan; Sasol and the UNGC Principles on Human Rights. Full case studies can be found on the Global Compact website in the “Communicating Progress” section

### Open Space sessions

In addition to discussion around case studies, Learning Forum participants engaged in “Open Learning Space” sessions to facilitate discussion and interaction. The Open Space methodology allowed participants to create and manage their own agenda of parallel working sessions around themes of strategic importance. Participants were asked to pose key questions on corporate responsibility (CR) globally or on a smaller, more personal level – for example, in a specific community, industry sector or within an organization. In many cases, participants discussed the issue and also considered next steps and identified related questions for further debate and exploration.

## Executive Summary

Open Space topics included:

- How do I ensure my CEO takes CR seriously?
- How can we bring about effective environmental and waste management in Africa?
- Is there a real commitment by GC companies to freedom of association and collective bargaining?
- How can Chinese companies that want to operate responsibly be supported in Africa?
- True or False: “CSR is just a lot of bla-bla-bla”
- When should companies engage in a conflict-sensitive area?

Several of the questions discussed in Open Space revolved around the challenges that business and other sectors face in deciding whether and how to pursue responsible practices. It was generally agreed that, for various reasons, too many people still perceive corporate responsibility as “bla-bla-bla”, either as jargon, “green washing”, too theoretical, or too academic. Therefore, participants recommended establishing enablers to help organizations give practical meaning to corporate responsibility.

Regarding the Open Space methodology, participants noted that they were able to address a multitude of questions in the sessions either about the Global Compact or about specific issues or regions. However, it was noted that in this type of meeting, resource people are needed in the Open Space groups. In many cases, participants noted a large gap in knowledge between new Global Compact participants and more advanced participants. As a result, such sessions should cater to all levels – with more basic information available for less advanced participants.

### Other meeting highlights

Additional meeting highlights include field visits to Ghanaian companies, issue-specific workshops, the launch of the book *Africa Leads*, and several cultural experiences including traditional performances by Ghana’s premier dance and music ensembles.

*Africa Leads*, a book of vividly illustrated, inspirational stories on globally responsible business being carried out across Africa was launched at the meeting. The book was developed by the Global Compact’s Regional Learning Forum Meeting and UNISA Press. To develop *Africa Leads*, more than 1,000 contributions were collected from across the continent. These were narrowed down to 87 published stories that tell of inspirational leaders who are putting ethics at the centre of their thoughts and actions; education initiatives that are thriving against all odds; and businesses that are creating economic and societal progress in a globally responsible and sustainable way.

Approximately 40 meeting participants took part in field visits to the Coca-Cola Bottling Company of Ghana, the Cocoa Research Institute of Ghana and the Volta River Authority. The visits allowed for discussion between participants and companies on the topics of HIV/AIDS and human rights (Coca-Cola), partnerships towards economic growth and environmental sustainability (Cocoa Research Institute) and company-community relations (Volta River Authority). By meeting with the companies and, in most cases, key stakeholders (e.g. employees, community), participants were able to gain a first-hand understanding of the successes, challenges and unresolved issues regarding corporate citizenship faced by these companies, and likely many others in Ghana and beyond.

*The 4<sup>th</sup> International Learning Forum Meeting was organized by the Global Compact in partnership with the Centre for Corporate Citizenship of the University of South Africa (UNISA) and UNDP Ghana. Further support on the Open Learning Space methodology was provided by UNISA and the OASIS School of Human Relations.*

## **OPENING PLENARY**

**Nana Dr. S. K. B. Asante**

**Ghana Learning Forum Chairman**

*Omanbene (Paramount Chief) of the Asokore Traditional Area and President of the Ghana Academy of Arts and Sciences*



As Chairman of the Global Compact Learning Forum in Ghana, Nana Asante opened the meeting by sharing his feelings of gratification that international efforts to advance corporate responsibility – particularly as driven by the United Nations – have finally gained global momentum. Participation by nearly 200 business, civil society, government and labour representatives at the first Learning Forum Meeting to be held in Africa provided evidence that the notion of corporate responsibility is valued and growing in all regions of the world.

Based on his prior experience in the 1970s and 1980s at the UN Centre on Transnational Corporations (UNCTC), Nana Asante provided a brief historical review of early impasses faced at the United Nations related to the issue of responsible behavior by corporations. At the time, the atmosphere was heated – disagreements abounded among all sectors over the role and responsibilities of TNCs, despite the fact that these companies had the economic power and resources to play a meaningful role in development. Many years were spent formulating and then negotiating a code of conduct to regulate TNCs; the code sought to curb economic, social and environmental behavior of TNCs, as well as provide for various protections of TNC treatment in host countries. Ultimately, negotiations were never concluded and “this grand scheme of international regulation never materialized”.

Nana Asante credited Secretary-General Kofi Annan with restoring the important international efforts to “construct mutually beneficial relations between the corporate world and peoples of the world”. Because the Global Compact’s unique nature and design break from the familiar pattern of UN resolutions and international politicking, Asante proclaimed that he had “no doubt that this imaginative initiative founded on voluntary participation and by good sense and a profound appreciation of the common good ... will prevail”. Asante called on meeting participants to share relevant experiences and carry forward the necessary spirit of “imaginative collaboration” between government, companies and people to ensure that the benefits of business contribute to economic and social development on the ground.



**Joyce Aryee**

*Chief Executive, Ghana Chamber of Mines and Chairperson of the Ghana Steering Committee of the Global Compact Regional Learning Forum Meeting*

As the Chairperson of the Ghana Steering Committee for the Learning Forum Meeting, Joyce Aryee laid out the meeting’s key objectives:

- Share and discuss challenges, as well as lessons learned, in implementing the Global Compact principles and partnerships for development.
- Empower participants to become change agents within their organizations, offer networking opportunities among experts and practitioners in the field of corporate citizenship.
- Contribute to the success of the Global Compact in Africa.

As the head of an organization that is actively engaged with the Global Compact, Ms. Aryee encouraged businesses to become participants in the initiative, citing several benefits including: risk management by taking proactive action on critical issues; sharing good practices and learnings; accessing the UN’s global reach and convening power; producing practical solutions to challenges related to globalization and sustainable development; and improving a company’s reputation, employee morale, and operational efficiencies.

## Opening Plenary



**Christophe Bahuet**

*UNDP Resident Representative A.I.*

As a representative of the United Nations, Christophe Bahuet reiterated the Global Compact's call to the UN, business, labour and civil society communities to forge partnerships and cooperation that will lead to a convergence of business interests and universal principles. Such cooperation among sectors is critical for making global markets more inclusive and sustainable.

Mr. Bahuet outlined several visions for a world that could emerge when globalization “works”:

- Synergies between social harmony, economic performance, human resource development, and social and environmental investments;
- The gap between rich and poor is narrower and there are opportunities for all, not a few;
- Guided by rule of law with legitimacy of and respect for norms; and
- Economic activities take place in decent working conditions, in an environmentally sustainable manner, with good governance and corporate responsibility prevailing.

Bahuet stated, “As stakeholders of the Global Compact we may have different viewpoints and interests. The success of the Compact and the difference it makes to humanity is largely in the hands of its stakeholders. Success depends on both our commitment and our ability to promote and implement the Global Compact, and rally behind this vision of increased equity, inclusiveness and sustainability”.

### **Honourable Allen Kyerematen**

*Minister of Trade, Industry, Private Sector Development and President's Special Initiative*

Allan Kyerematen's remarks focused on the challenges that the Global Compact faces in scaling-up its efforts and ensuring that lasting changes result in poverty reduction, sustainable development and good governance. Mr. Kyerematen acknowledged that while the Global Compact has matured quite rapidly and been widely accepted, there are implementation challenges in many parts of the world, especially in Africa. He called on meeting participants to engage in “positive introspection” in order to determine how the Global Compact “can serve our individual and collective interests, whilst at the same time delivering benefits to the wider society”.



Mr. Kyerematen stated that the only way to encourage the corporate sector to more broadly redefine corporate visions and missions, business strategies and practices is for the Global Compact to be seen as a rewarding business proposition – one that advances the interests of both shareholders and customers.

According to Mr. Kyerematen, the Global Compact must be underpinned by three inter-related paradigms: Ethical Paradigm (human rights, labour standards, environmental issues and good governance); Social Paradigm (social responsibility, corporate philanthropy and social investment in non-core business areas) and Business Reward Paradigm. He argued that the Business Reward Paradigm is the least developed, but has the greatest potential to advance the Global Compact and collective interests.



Mr. Kyerematen's suggestions for developing the Business Reward Paradigm included: intensifying value chain and supply chain arrangements that integrate rural communities and other vulnerable groups; promoting linkages between companies and small or micro-enterprises; integrating vulnerable groups into the formal economy through access to micro-credit and micro-finance; and adopting employee shareholding arrangements that enable workers to benefit over a longer-term.

## **PANEL DEBATE**

### ***The Role of Business in Society: Dilemmas, Impacts and Opportunities***

*Moderator: Maggi Opondo, University of Nairobi*

#### **Klaus Leisinger**

*Special Advisor to the UN Secretary-General on the Global Compact (until January 2007), Head of Novartis Foundation*

In his remarks, Leisinger demonstrated the complexity of the issue of business and human rights. Sharing experiences from the work of Novartis to integrate human rights issues into the company's strategy and practices, Leisinger showed how difficult the debate and dialogue of human rights can be – even in companies that have the best of intentions. According to Leisinger, “a company cannot hide behind a bad law or inadequate methodology”.

In preparation for joining the Global Compact in 2000, Novartis conducted internal due diligence on understanding and practices around the ten principles. The company's key learnings were that while many in management were not completely sure how to interpret the human rights principles into business strategy, they knew that the human rights principles were critical and non-negotiable. One outcome was the decision to pay a “living wage” to all employees. After defining a basic needs basket and investigating where wages were under the “living” level, the company found that there were violations even in their headquarters in Basel. By implementing this policy, the company started a wider discussion within Novartis and increased the social competence of the company.

Other critical areas of discussion within the company focused around the right to physical and mental health which ties directly to access to health and drugs. Leisinger credited the company's involvement in a cross-sector initiative “Business Leaders Initiative for Human Rights” as an important factor in helping the company set human rights targets, conduct performance appraisals and undertake compliance management.

#### **Mary Robinson**

*President, Realizing Rights: The Ethical Globalization Initiative and Member, UN Global Compact Board*

Following Dr. Leisinger's remarks, Mrs. Robinson reiterated that the Global Compact's first two principles – the human rights principles – are paramount because all ten principles can be viewed through the lens of human rights. Robinson recalled her experiences with business when she served as UN High Commissioner for Human Rights. She remarked that historically the human rights community has most often viewed business as an unfriendly force based on issues such as displacement of indigenous peoples, poor wages and mistreatment, and high number of slum dwellers. But Robinson pointed out that she, as well as others in the human rights community, has come to see that in the 21<sup>st</sup> century, business can – and must – be an agent for positive change.

Robinson argued that in a time when government is doing less – having privatized prisons and education, for example – it is critical for multi-stakeholder efforts and dialogue on the issue. And finding 21<sup>st</sup> century solutions is Robinson's focus as President of Realizing Rights: The Ethical Globalization Initiative. She stated that still today, millions of people remain unaware of their rights (“All human beings are born free and equal in dignity and rights” – UDHR) and every organ of society has a responsibility to play in helping to realize those rights. Resolving human rights deficiencies will require addressing various topics including trade, decent work, right to health and information technology. For business, learning how to operationalize and manage human rights in corporate strategy and practices is a compelling and timely issue.



## Panel Debate

### **Knut Kjaer**

*Chief Executive, Norges Bank Investment*

Based on his experience as the head of investment for Norway's central bank, Norges Bank, Mr. Kjaer's remarks focused on the importance of corporate governance and responsible business practices – and the role that asset managers can play in demanding such behavior by companies in which they invest. According to Kjaer, “business which is not transparent cannot be expected to do good”. He stated that transparency, democracy and free markets are tied together and reliant on one another. Free markets empower consumers. Democracy empowers citizens. Without transparency, these systems will not fully succeed. Governments must be free of corruption; they must regulate business properly to uphold free markets and ensure there are no monopolies.

Kjaer stated that another critical factor for upholding a free market system is active ownership and management of business – for example, ensuring companies are managing risks related to labour and environment. It is up to company owners to elect good boards, to demand transparency and good governance. As a sign of Norges Bank's commitment to this philosophy of active ownership, the company was one of the original signatories of the UN's Principles for Responsible Investment (PRI). PRI provides a framework for institutional investors to integrate environmental, social and governance issues into investment decision-making and ownership practices. Investment funds from around the world representing more than \$5 trillion in assets held or managed have backed PRI.



Maggie Opondo, Knut Kjaer,  
Andani Alhassan during the panel  
discussion

### **Andani Alhassan**

*Managing Director, Stanbic Bank Ghana*

Mr. Alhassan's comments focused on the dilemma of how markets and wealth can be used to create sustainable societies. When using resources to create wealth, often the result is a net loss for society, for example in resource-rich areas like Africa. What tools and skills can be used to recreate these lost societies? Alhassan argued that one solution is the private sector; considering potential solutions in the areas of education, water and health. If the private sector can efficiently provide and maintain services, then the government must reconsider its role. Alhassan pointed out that in some cases government can become more focused at the point of consumption – through consumer protection, quality standards, etc. Business expertise can relieve government of service creation and delivery, allowing government to better use its resources.

Alhassan stated that bringing expertise back to society through productive investment and action is an important way for business to help create sustainable societies – and is preferred to corporate giving and philanthropy. Yet, there need to be better incentives for companies to do so, such as the improved ability to calculate the social return on investment. Alhassan concluded his remarks with a call to develop globally accepted criteria and parameters for social return on investment in order to scale-up incentives for responsible behavior by business and investment by the financial community.

### **Panel Question & Answer**

*Question: Are we asking too much of business – what about the role of government?*

*Answer:* Clearly, governments also have an important role to play. In some cases, governments own large percentage of business and can do more. For example, there was a case of a government paying farmers US\$ 9 for cocoa trees valued at US\$20 per tree per year for 20 years. (Robinson)

## Panel Debate



Olajobi Makinwa,  
Global Compact Office

We are not asking too much of business when you consider the balance of power in today's world – the number of people employed by business, the assets of business and their collective influence. In the 21<sup>st</sup> century, we should not seek to diminish the power of capital markets, but we must better determine how this power can be used for good. Government must work in its capacity to ensure all sectors do their part on issues of human rights, environment, labour and corruption. (Alhassan)

*Question: There are inherent relations among all ten Global Compact principles, yet is it fair to say the human rights principles take precedence?*

**Answer:** Human rights are tied into all ten principles. For example, the issue of paying a “living wage” is also related to labour and environment. But with human rights, the sphere of influence and the related issues can cause more perplexity and dilemmas for a company. (Leisinger)

All principle are linked, but we must think more about human rights because the issue is non-negotiable and highly complex. In addition, business has a better handle on some of the other areas, such as environment. The best way to address these complex questions on human rights in the 21<sup>st</sup> century is through dialogue among many stakeholders. We must stretch our way of thinking to find solutions. (Robinson)

*Question: The stock-market is still driven by short-term performance. How can we provide the right incentives to get companies and the mainstream financial market to shift to more long-term approach to investment and returns?*

**Answer:** Financial markets are short-sighted and they have an important role in pressuring companies to perform – we need quarterly reports. At the same time, we need to provide incentives for company management to take a long-term approach. As investors, we can demand transparency and take a close look at the risks related to the business. The Principles for Responsible Investment are an important indicator that institutional investors increasingly take environmental, social and governance issues very seriously. (Kjaer)

## **CASE STUDY SESSIONS**

### **Session 1: Conflict Prevention and Peace Building**

#### **Moderator**

*Claude Perras, Director International Affairs, Alcan*

#### **Resource Persons**

*Paul Hollesen, Manager Community Relations and Social Development, AngloGold Ashanti*

*Paul Kapelus, CEO, African Institute for Corporate Citizenship*

*Haskell Sears Ward, Senior Vice President, Global Alumina*

*Josef Seitz, Director, Consult21*

During this session, participants explored the challenges companies confront when operating in areas of weak governance around the world - characterized by the existence or threat of armed struggle and the absence of a legitimate system of government. Discussions highlighted that a company's decisions on investment, employment, community relations, environmental protection and security arrangements can exacerbate the tensions that produce conflict. A company operating in such areas will both influence and be adversely affected by conflict. There are a number of actions and initiatives business can take to reduce operational risks, promote stability and improve relations with local communities – ultimately helping a country move toward peace.

Two case studies served to stimulate discussion of the key challenges involved.

#### **Global Alumina's Proactive Efforts to Mitigate Conflict-Related Risks in the Republic of Guinea**

*Case Abstract:* The Republic of Guinea is a developing nation endowed with rich natural resources, especially bauxite. Although the country itself enjoys relative peace, its neighbouring countries, in particular Liberia, Sierra Leone and Ivory Coast, suffer from conflicts. Furthermore, Guinea is among the poorest countries in the world and presents important socio-political risks for investment (e.g. lack of governance, political transition uncertainties, economic inequalities, labour related problems, refugees).

In this context, the New York-headquartered company, Global Alumina, is currently constructing a US\$3 billion alumina refinery in Guinea. This represents the largest foreign investment in the country and has a tremendous impact on the country's economy. From the outset, the company has adopted proactive measures to mitigate socio-political risks associated with the project, in particular conflict-related risks. These risks relate on the one hand to the latent conflict potential in the country (exogenous risks), especially considering the conflicts in neighbouring countries, but on the other hand also to conflicts that may arise in connection with the project itself (endogenous risks). For instance, the resettlement activities associated with the project have been implemented in a rigorous and consultative manner, so as to prevent grievances from arising.



Claude Perras, Alcan  
Haskell Sears Ward, Global Alumina

## Case Study Sessions

### **Anglo Gold Ashanti in the Democratic Republic of Congo: Management Challenges and Responses to Operating in a Weak Governance Area**

*Case Abstract:* AngloGold Ashanti (AGA) has a license to explore a gold deposit in Ituri District, northeastern Democratic Republic of Congo (DRC). In January 2005, in an act of extortion, staff of the AGA exploration team in Ituri District made an \$8,000 payment to the Front des Nationalistes Intégrationnistes (FNI), a militia group which was controlling parts of the Ituri District during the civil war. Concerns that AngloGold Ashanti made payments to a militia group involved in human rights abuses received significant publicity during 2005. It is also apparent from the media reports that the company initiated efforts to engage with its critics and to learn from this experience.

AGA's association with the rebel militia group in DRC has become a high-profile reference point for those interested in the role of mining in society, business complicity in human rights abuses and involvement in conflict zones. The aim of this case study is to provide an analysis of AngloGold Ashanti's management responses to working in a conflict zone fraught with weak governance and historical conflicts. This case study focuses on what is necessary to secure an environment in which society can benefit from the potential of large scale mining, within the context of the history of mining in the DRC, as well as the dynamics surrounding AngloGold Ashanti's association with a militia group.

Session participants discussed how the Global Alumina case highlighted the difficulties a company confronts due both to the political and economic contexts of the operating environment and the numerous risks that the company's project itself will create. What can companies do prior to investing in such countries that will help to mitigate risks?

Main issues of discussion on the AngloGold Ashanti case included: To what extent were social and political considerations taken into consideration when the company merged into AngloGold Ashanti? Were shorter-term financial considerations given priority over other considerations? What kind of criteria should a company apply when deciding whether or not to operate in a conflict-prone region?

Session participants also discussed ways for companies to build trust when operating in a weak governance zone. Three key suggestions resulted:

1. Corporate operations in zones of conflict can exacerbate disparities of wealth that already exist both within and between communities. Corporations must plan to manage the wealth that their operations will create prior to entering a country.
2. Companies need to be proactive and implement an integrated conflict impact assessment strategy. There are a number of "soft" issues that a corporation might not otherwise recognize without such a strategy.
3. Finally, a company must constantly review its programs and implementation strategies – what works in one country will not work in another. Having policies in place and working to implement them is not fool-proof – a constant review of implementation progress is necessary.

Finally, the case discussions provided the basis for developing a set of questions that could be further explored in the Open Space portion of the meeting and future related meetings:

- How does a company operate in a society that is failing?
- What is the role of a company vis-à-vis a government that is not delivering for its own people?
- How does a company adequately assess the risks of commencing operations in a conflict zone?
- How does a company deal with various stakeholder groups – global, local NGOs etc? How does a company determine which are "legitimate", "representative" groups?
- What kind of stakeholder engagement process is adequate – how proactive should a corporation be in interacting with groups that criticize the company and its operations? Clearly a company should be as transparent as possible when dealing with criticism.

## Case Study Sessions

- What steps can and should a company take to ensure that communities are better-off with the company operating there – as opposed to leaving?
- How does a company report issues in a zone of weak governance where the state is not capable or willing to respond?
- What kind of skills and training do company personnel on-the-ground require in order to adequately respond to issues arising when the company is operating in a weak state?



Participants discuss case studies in working groups

# Case Study Sessions

## **Session 2: Company-Community Relations – From Conflict to Collaboration**

### **Moderator**

*Olajobi Makinwa, Civil Society Coordinator, UN Global Compact*

### **Resource Persons**

*Claudio Boechat, Professor, Fundação Dom Cabral*

*Michael Gebbers, Managing Director, Pharmakina*

*Joyce Ogwezi, Peace and Security Strategy Implementation, Shell Nigeria*

*Caio Eduardo Zanardo, Forest Engineer, Votorantim Pulp and Paper*

The learning objectives of the session were to gain a better sense of the complexities, challenges and paradoxes involved in company-community relations; to collectively listen to potential solutions and actions; and to allow individuals to formulate questions to be explored in the Open Space sessions.

Representatives from Shell Petroleum Development Corporation (SPDC) Nigeria gave a presentation on the company's community relations in the Niger Delta.

### **Shell Petroleum Development Corporation Nigeria**

*Background Summary:* In the Niger Delta, an area rich in natural resources yet steeped in tension and grievances, Shell works to maintain community relations both to empower the people and ensure the continuity of the company's operations. Shell needs the community to provide it a secure license to operate. The company's operating principles have been developed to build good relations and minimize tensions and corruption:

- Pay no cash unless work has been done, otherwise this undermines the fabric of society
- Subcontracts and contractors must obey these principles in order to work for Shell
- Don't go into the field without getting a budget first – lowers risk of bribery
- Must adhere to these principles even when operational stability is threatened

The company faces numerous issues and challenges including pollution, illegal bunkering, pressure for cash payments, absence of law and order, weak political environment and institutions, growing agitation and militancy, revenue allocation. Community issues abound: demand for community assistance, employment and community recognition; and various disputes (contractor-related, outstanding promises, intra/inter-communal, and ownership).

Recognizing a correlation between peace and sustainable development (SD), the company has devised a SD program at two levels in Niger Delta. The management of the issue has evolved over time from a focus on "assistance" to "sustainability".

- Promote beneficial relations with the community
- Focus on the community and its ability to meet its needs
- Prioritisation of communities
- Creating a better social and economic environment
- Created a peace and security implementation team. Empower them to rediscover traditional conflict resolution.



Joyce Ogwezi, Shell Nigeria

## Case Study Sessions

Session participants raised a variety of questions, showing the complexities and challenges faced by Shell and other companies in similar situations:

- How does the company work with local businesses?
- Does Shell develop the entrepreneurial skills of the community members, especially women, in order for them to be adequately self-reliant?
- How does Shell measure impact in a rather complex multi-shareholder environment?
- How can we make communities drivers of sustainable community development efforts under corporate social responsibility?
- How can corporate responsibility initiatives create long-term and short-term tangible benefits?
- Was there community participation in the development of the Shell model?
- What mechanism does the company have for communities to access SPDC funds or assistance?
- Is there an up-front exit plan in the designing of CSR strategies and why?
- In assessing the issues that engage CSR activities is there an equal assessment of the company's capacity to deliver?

Following the discussion on Shell in the Niger Delta, participants engaged in discussions on two case studies:

- Pharmakina in the Democratic Republic of Congo
- VCP in Brazil

### **A Beacon of Stability in a Sea of Unrest: PHARMAKINA in the DRC**

*Case Abstract:* PHARMAKINA s.c.a.r.l. is a pharmaceutical company with headquarters in Bukavu in war torn eastern DR Congo. On a profitable basis, the company produces quinine salts for the global market, as well as Malaria and AIDS medicines for the domestic market. It is one of only a few companies in South Kivu Province to have survived the recent war. The company is known for its extensive community engagement.

This case study focuses on the specific challenges for a company operating profitably in a conflict zone, when at the same time the company wants to uphold good corporate citizenship ideals (e.g. extensive community engagement). The case argues that not only can these seemingly conflicting challenges be met without major trade-offs when innovative solutions are applied, but in fact the different challenges must be met to operate successfully in a conflict zone.

### ***PHARMAKINA Discussion***

Participants felt that the case was complex and that it could not easily be compared with the others (like Shell) where a company has a community-related problem. The group agreed that Pharmakina has to handle the problems on a case-to-case basis. Session participants felt that Pharmakina has survived because of its engagement with the local community. In case of trouble, the community was there to assist the company. It also was clear to the group that Pharmakina was in a difficult position – and the company could not take sides due to a constant shift in the balance of power. A proposition was made that in such cases a company should approach the rebels together with a UN organization, NGO or committee.

## Case Study Sessions

### VCP in Brazil

*Case Abstract:* This case portrays the experience of VCP, a major pulp and paper company in Brazil, in its attempt for an innovative and proactive relationship with the surrounding community under circumstances of latent conflict. Brazil has very high income inequalities and widespread poverty, especially in rural areas. Access to and ownership of land has been a controversial issue, giving rise to a large social movement known as the Movement of Landless Rural Workers (MST), as well as recent state policies in support of rural settlements. However, given the mismatch between the social demands and the capacity of the state to give appropriate responses to meet them, the situation has remained tense.

These land-related challenges and policies have significant bearing on pulp and paper companies, such as VCP. The sector has been also criticized by local movements for its environmental and social impacts. The company is undergoing major forestry expansions in the state of Rio Grande do Sul, with a business model that includes the local community as eucalyptus production partners, among which are some of the recently established settlements from the land reform program. The company's program is supported by partnerships with governmental bodies and universities.

### VCP Discussion

To facilitate the VCP discussion, an alternate case with similar characteristics was first presented to spark participant solutions to similar challenges: a sugar cane company planning entry in a new area with a difficult geopolitical context. Participants considered how the sugar company could grow and incorporate more land meanwhile being a socially responsible company? The group suggested partnerships between the company and the farmers to develop different crops in the same area, such as rice, sugar cane and soy beans. Also, it was suggested to involve a government agency to assist the farmers and a research institute to develop technology.

Another point of discussion was how the company could help provide small farmers access to land? One potential solution is financial support by the company, yet other participants felt that a bank or the government should make loans as part of a social responsibility program.

Following discussion of the “mock” case, the VCP case was presented and discussed. It was revealed that many of the solutions proposed for the sugar cane “mock” case were the same solutions developed in reality for the VCP in Brazil.



Paulo Boechat and Caio Eduardo Zanardo, discussing their case with a colleague from Petrobras, Brazil



# Case Study Sessions

## **Session 3: Collective Action against Corruption**

### **Moderator**

*Birgit Errath, Anti-corruption Manager, UN Global Compact*

### **Resource Persons**

*Roderick Fred Davids, Manager Professional Ethics, Office of Public Service Commission, Govt of South Africa*

*Kris Dobie, Researcher, University of Pretoria*

*Oonagh Fitzgerald, Senior General Counsel, Queen's University School of Business,*

*Sai Kiran Josyabhatla, Commercial Director, RAB Processors*

*Daisy Kambala, Researcher, African Institute for Corporate Citizenship*

*Janette Minaar, Business Unity South Africa; Direct I-Value*

*Odette Ramsingh, Head of Department, Office of Public Service Commission, Govt of South Africa*

This session focused on the role companies can play in establishing collective action efforts against corruption and cooperating with national coalitions. The formation of coalitions between governments, civil society and companies has been prompted by the realization that corruption needs a systemic, broad-based and integrated approach. For companies, such collective action with other actors offers an effective way to create a fair and level playing field on which to compete. However, one of the challenges of working together is to: build trust, create confidence that a corrupt environment can slowly be changed; define concrete activities beyond general intent; and measure progress.

The session sought to address the following dilemmas and challenges related to collective action:

1. How can the discussion on corruption be started? Should one address the problem directly or talk about strengthening the business environment more generally?
2. How to build trust between competitors to discuss sensitive issues and corruption-related aspects?
3. Who should drive the collective effort? Is a facilitator needed?
4. How to move from a general declaration against corruption to concrete action?
5. How to deal with free-riders and monitor compliance with the agreed-upon action plan?
6. How to broaden and sustain the initiative? And, how to establish a dialogue with the public sector?

### **The business case for collective action against corruption**

To begin the session, the Global Compact provided background information on the business case for collective action against corruption. For many companies, the proposal to work together with competitors against corruption sounds like a paradox, simply because bribery is used to gain an unfair advantage over a competitor or seen as problem of individual companies where others don't want to get involved.

Furthermore, most companies prefer to deal with problems internally and state that they have anti-corruption policies already in place. However, current statistics on implementation of anti-corruption codes show that even though many companies have codes (83%), not all of them ban facilitation payments (75%) and even fewer actually train their employees on how to handle daily business situations where they might face corruption in all its aspects (45%). The situation is worse for small- and medium-sized enterprises (65% say they have a code, 40% ban facilitation payments and 20% train employees).

Several arguments were provided to explain the relative weak implementation history of codes, the main explanation being that companies do not believe that competitors would follow the rules. Collective action, as promoted by the Global Compact and already practiced in some industry sectors and country networks, could provide a potential instrument to overcome this prisoner's dilemma. However, starting and sustaining a collective effort is a complex task.

## Case Study Sessions

Two case stories were used during this session to delve into the above questions and discuss how collective action works in practice:

### **Malawi Business Action against Corruption**

*Case Abstract:* With leadership from the private sector, a cross-societal coalition called the Malawi Leaders' Forum, involving government, private business, civil society, donor agencies and the media, was created to tackle the corruption problem and implement the 10th Principle of the Global Compact in Malawi. This national multi-stakeholder negotiation process produced a broad-ranging action plan to combat corruption in Malawi's public and private sectors. A year after the inaugural Leaders' Forum, the Anti-Corruption Task Force had produced a Business Code of Conduct and was awaiting its approval and adoption by the government and the business community of Malawi.

Currently, enthusiasm for the initiative and commitment to its objectives are still high among the leaders. However, it may be time to enlarge the reach of the Initiative, using the Business Code of Conduct to launch a broader public debate. Participants of the workshop were asked to provide strategies and input on how the initiative could be carried forward.

### ***Malawi Case Discussion:* Participant recommendations**

- The engagement of champions from all sectors is a crucial element of success for collective action. Media should be involved in collective action in order to communicate the efforts to the wider public, to raise awareness about ongoing corruption and money that could otherwise be used for society.
- Collective action should be seen as a long-term effort which will require sustained efforts by all organisations involved. However, some “quick wins” need to be achieved at the beginning to demonstrate to companies that collective activities result in concrete outcomes.
- It was proposed to that codes and activities are developed on a sectoral basis in order to focus on specific problems and issues by sector and establish a level playing field among competitors.
- Governments should enforce and monitor compliance with codes of conduct (e.g. through the establishment of “name-and-shame” lists).
- New efforts should be integrated into existing structures in order to achieve greater impact. For example, the business community could participate in the budget drafting procedures of governments or work with donors who define governance parameters as criteria for lending.
- It was recommended to not consider divestment strategies from countries which are considered corrupt as such a strategy would almost make it impossible to engage in any country. Organizations working in countries that are perceived as corrupt should rather ensure compliance of their employees with internal regulations, work with competitors and enter into a dialogue with the government.

## Case Study Sessions

### National Anti-Corruption Forum in South Africa

*Case Abstract:* The South African Government had indicated interest in working with business and civil society to fight corruption. The Public Service Commission, an independent constitutional body which provides oversight over government, has been tasked with bringing representatives together and providing secretarial support for the proposed collective anti-corruption body. Initial talks with the government and civil society sectors have been slow and difficult. Organized business has tried to bring a code of conduct for South African business into existence. However, buy-in from the larger business community has been difficult to obtain. One of the main challenges in the establishment of the anti-corruption body was to decide on mechanisms to bring players together and enable consultative structures which give credibility and buy-in on the one hand, and enable speedy decision-making and the ability to do work on the other. Participants of the workshop were asked to provide input on which structures and key elements would be needed to make such an effort successful.

### ***South Africa Case Discussion: Participant Recommendations***

- Also in the case of South Africa, media representatives were considered an important actor for not only naming and shaming non-complying organizations, but also for raising awareness and creating a different culture for conducting business. Educating individuals about corruption and its elimination was also viewed as an important duty for the anti-corruption body.
- Naming-and-shaming was seen as a potentially important tool to enforce compliance with any codes or rules decided by the collective efforts. It was also proposed that banks and other financial institutions could play an important role in rewarding good corporate behavior.
- Ideally, the person leading a national anti-corruption effort should be acknowledged by all actors. Such a convener should be neutral so that the effort is not seen as being driven by one stakeholder or another (e.g. a high-reputation person such as an ex-judge, academic or UN agency).
- Participation of companies in national efforts could be more effective if organized on a sectoral basis due to the different dilemmas companies face (e.g. construction, extractive). It was confirmed that representatives nominated by companies to participate in a collective effort should be the CSR manager or the ethics officer and have a certain level of seniority.



Participants discuss the anti-corruption Forum experiences from South Africa

The following main questions were proposed for further discussion:

- Is naming-and-shaming the right way forward to ensure compliance?
- How to create political will to clamp down on corruption?
- How to reduce possibilities for corrupt individuals to “enjoy” their proceeds (asset recovery, travel bans, etc.)?

# Case Study Sessions

## **Session 4: Business, Human Rights and Labour Rights**

### **Moderator**

*Mary Robinson, President, Realizing Rights – The Ethical Globalization Initiative*

### **Resource persons**

*Jonathan Hanks, consultant*

*Klaus Leisinger, President and CEO, Novartis Foundation*

*Alan Miller, Director, McGrigors Law Practice*

*Ron Popper, Vice President Corporate Responsibility, ABB*

*Stiaan Wandrag, Sustainable Development Advisor, Sasol*

This session discussed dilemma situations based on real life human rights scenarios confronting many companies operating in the African continent. Mary Robinson opened the session with an introduction to the resource persons and the session outline, which entailed a brief introductory presentation from Klaus Leisinger and presentations on case studies on ABB and Sasol by the relevant resource persons.

Klaus Leisinger emphasized the growing importance of human rights issues in the international corporate citizenship agenda and he drew attention to issues that are likely to arise for companies competing with integrity when translating good intentions into practical business realities. He also argued that leading companies ought to reap greater recognition in the sense of increased “reputation capital” for excellent efforts beyond legal obligations.

### **ABB’s Operations in Sudan**

*Case Abstract:* ABB’s business in the Sudan is relatively limited. It entails, for instance, the supply of power equipment to the Merowe dam, which is controversial because of resettlement issues, among others. The company has no manufacturing operations in the country and it pays no taxes. Nevertheless, ABB’s involvement in Sudan was faced with significant criticism from NGOs and US pension funds and student organizations, some of whom threatened to divest unless ABB left Sudan.

ABB’s response was to initiate a far-reaching stakeholder engagement effort, focusing on both local and international stakeholder groups. The local stakeholders unanimously supported the company’s continued presence in the country, and this local engagement ultimately led to the establishment of a national Global Compact network. This was seen as a crucial achievement in terms of raising the level of debate on business and human rights at the national level. At the international level, engagement with investors succeeded in convincing a number of concerned US state pension funds not to divest.

Key Questions: 1) What does a company have to do to operate in a weak governance zone? 2) How does one define complicity in human rights abuses in such a context? 3) How should a company respond to a divestment campaign based on human rights concerns?

ABB representatives shared the following learnings related to the company’s operations in Sudan:

- Proactive stakeholder engagement plays an important role in dealing with human rights dilemmas.
- Human rights are not just a risk, but should also be seen as an opportunity to “do good”.
- Sometimes companies need to “learn the hard way”, emphasizing the important role of the Sudan experience in ABB’s learning process with regard to human rights.
- ABB’s experience in Sudan also contributed to a broader learning process through the Business Leaders in Human Rights (BLIHR) initiative. A BLIHR project was initiated to provide guidance to companies operating in sensitive countries, which will assess the following: 1) What guidance do companies currently have to navigate their involvement in sensitive countries? 2) What is missing in terms of such guidance? 3) What additional guidance can BLIHR provide? 4) How can BLIHR develop a multi-stakeholder forum and framework for agreement on the role of business in weak governance zones?

## Case Study Sessions

### Sasol and the Global Compact Principles on Human Rights

*Case Abstract:* Sasol, a company that originated in apartheid South Africa, is now an important African company in the international energy industry. It is faced with potential human rights challenges as it enters into countries such as China and Iran. These challenges may be compounded by the fact that most of its projects are undertaken in the form of joint ventures with host governments.

Sasol has a relatively good record in terms of environmental issues, but has not yet devoted significant explicit attention to human rights. In particular, there are a number of important uncertainties that were expressed by company managers in the course of the case study research. The following quotes illustrate some of these uncertainties:

- “Whose human rights are we talking about? Can we go around imposing western values?”
- “Should we go beyond compliance? Is it our job to tell host governments what they should be doing?”
- “Why should we consider not going into a sensitive country? Just by being there, we will create jobs and support development, which must be good for human rights.”

The case author suggests that companies such as Sasol ought to embark on the following activities: 1) Improved training of all employees on human rights related issues; 2) Improved human rights risk screening prior to entering into any country or project; and 3) Enhanced stakeholder engagement on human rights issues, including consultation with companies that have learned important lessons in this regard.

In the ensuing discussion, the following questions were discussed:

- *What are in fact universal human rights – is the UN’s Universal Declaration of Human Rights still universally accepted, or does it require a renegotiation?* Mary Robinson responded to this question, emphasizing that the 1948 Declaration is still the key instrument, having been endorsed by all governments subsequently and still enjoying significant legitimacy. Any renegotiation of the Declaration would thus not be fruitful, although there is much scope for increased discussion around its implementation – the upcoming 60<sup>th</sup> anniversary in 2008 may be an important opportunity for this.
- *How do companies balance the costs and benefits associated with proactive efforts on human rights?* Many perspectives were provided on this issue. The issue of proactive training was re-emphasized, whereby top management in particular requires “the right mindset” with regard to the relationship between profits and human rights. Sometimes decision-makers need to consider human rights issues in terms of the company values, rather than the value they represent in terms of profits or share-price. Too often in the boardroom, value trumps values.
- *How can companies influence the broader human rights agenda in sensitive countries, and how can they influence governments, in particular?* In response, the example of ABB’s contributions to the establishment of a Global Compact network in Sudan was highlighted. This initiative allowed for the inclusion of a broader range of stakeholders and a more collective voice on human rights issues, which is potentially much more influential than the voice of single companies (though ABB did make a unilateral public statement in protest to a particular human rights incident in Sudan).
- *Why are labour rights represented so scarcely in this session and indeed in the meeting as a whole?* In the case of ABB, for instance, labour rights are not a significant issue in Sudan relative to human rights. Everyone agreed, moreover, that labour rights deserve more explicit attention in meetings such as this.
- *Is there anywhere in the world where companies will not invest, even if there is a return?* The company resource persons responded that most companies have a list of countries in which they would be reluctant to invest. It was noted that Sasol did not invest in West Sahara due to the potential risk to the company’s reputation.



Participants discuss case studies

## Case Study Sessions

Participants joined smaller groups to further delve into the case studies or more generic human rights dilemmas. Following are some of the issues and questions raised by the groups:

- *Divestment campaigns and boycotts may well have a limited impact on oppressive regimes and often harm the local population most.* Cuba was cited as an example. However, many investors, particularly in the US, are still in the “anti-apartheid mindset”, which believes that divestment campaigns can lead to significant political change.
- *Collective initiatives are crucial in achieving broader momentum for greater human rights awareness.* At the national level, this is exemplified in the Global Compact network in Sudan, and at the international level, the BLIHR initiative hopes to play a significant role.
- *NGOs ought to contribute to such collective initiatives in a more constructive manner.* Criticizing “from the outside in” does not always lead to improved outcomes.
- *Domestic laws are generally in line with the Universal Declaration, but it is their enforcement that is lacking.* Where are the boundaries between the role of governments and that of companies? Is there a responsibility for companies to “fill the gap” where governments are not fulfilling their obligations?
- *The issue of complicity is complex.* In Sudan, ABB was able to resist allegations of complicity due to the fact that it is not paying any taxes. What are the implications for the company’s operations in China? More needs to be done within companies in order to understand the risks and opportunities of operating in countries like China and to strengthen project risk reviews and associated training programmes. This poses significant challenges in large, decentralized multinational companies.

# Case Study Sessions

## **Session 5: Partnerships for Economic Growth and Development**

### **Moderator**

*Soren Petersen, UNDP Denmark*

### **Resource Persons**

*Nathan Leibel, Manager, Cadbury International Ltd*

*Simon Gilbert, External Affairs, De Beers*



Soren Petersen moderates the break out session on Partnerships

When operating in societies with high levels of poverty, companies often receive demands to take on public responsibilities beyond the immediate borders of the company – particularly in the areas of infrastructure and delivery of basic public services. During this session, the discussion centered on the particular challenges that companies face when operating in developing countries, and the innovative solutions they are developing together with local partners. Partnering with local organizations enables companies to get access to local knowledge and to develop strategies that are better suited to the local context and in-line with local priorities. At the same time, partnering can help the company conduct their business in a more sustainable manner both financially and socially.

A case study of De Beers' mining activities in Tanzania and a presentation from Cadbury Schweppes (Ghana) provided the basis for discussions on the challenges that companies are facing and the potential opportunities and solutions found in partnerships.

### **De Beers Mwadui Community**

#### **Diamond Partnership (MCDP) in Tanzania**

*Case Abstract:* Mwadui mine in Tanzania is owned by Williamson Diamonds Ltd (WDL) which is a partnership between De Beers, the international diamond mining and marketing company, and the Government of the United Republic of Tanzania.

Tanzania is the only country where small-scale informal diamond mining and significant De Beers operations co-exist. Aware that the success of the formal diamond industry has not been fully extended to the small-scale informal sector and the broader community, the Government of Tanzania has invited De Beers to help find a solution that involves full cooperation and participation of local communities.

The specific goals of the project are to develop multi-stakeholder partnerships to formalize, transform and support artisanal and small-scale mining communities and to alleviate poverty and promote sustainable economic development in the area surrounding the mine.

The vision of the partnership is self-sufficient, small-scale diamond mining enterprises where miners are paid a fair price for the diamonds they find; where governments receive their fair share of diamond mining revenues; and where sustainable alternative livelihoods, as well as health and education support, contribute to the overall creation of a thriving local economy in the Mwadui area.

### ***De Beers Case Discussion***

Discussions around the De Beers case focused on the extent to which the analysis of the situation commissioned by the company fully incorporates the priorities of the local communities and would contribute to improving the living standards of the informal mining communities surrounding the mine. Participants were encouraged by De Beers to propose ideas for improving the company's operations, particularly on the financial sustainability of partnerships and selection of local partners.

Questions posed to De Beers focused on the challenges of integrating informal miners into the formal sector:

Q: Regarding informal miners, is the solution registration and formalizing a system?

A: Incentives must be created for miners to go to licensed dealers. It is impossible to police huge areas. Must have a system that creates both government revenue and better income for miners. Now, foreign traders take most revenue, only about 10% of value back to miners.

## Case Study Sessions

Q: What is the motivation to integrate informal miners into the formal sector?

A: A key problem relates to rights. Who owns the minerals: government or private individuals? Also there is a problem of low revenue for government as diamonds are easily smuggled out.

### **Cadbury Schweppes Ltd**

#### **Sustainable Livelihoods Projects in Ghana**

*Case Abstract:* Ghana produces some of the highest quality cocoa in the world – the most important raw material for Cadbury. Ghana is the main source of cocoa used in UK production.

When Cadbury came to Ghana approximately 100 years ago, the quality of cocoa was perceived as poor. Cadbury Ghana Ltd has been introducing technology and new methods of harvesting to improve the sustainability and quality of the crop. A range of community projects have been initiated among the farming communities to contribute to more sustainable livelihoods among the cocoa farmers in Ghana and to support the production of quality cocoa beans for future generations.

Working closely together with local partners, Cadbury Ghana Ltd has initiated a range of projects. In partnership with Earthwatch Institute, Cadbury is engaged in activities to improve the biodiversity levels of cocoa farmers in Ghana and establish the first eco-tourism initiative generating additional income for farmers. In collaboration with local partners, Cadbury Ghana Ltd is also producing a newspaper to provide information and assistance to small-scale farmers to improve the sustainability and maintain the quality of the crops. 70,000 copies of the newspaper were distributed in key agricultural regions.

### **Cadbury Case Discussion**

Cadbury Ghana Ltd was asked about the environmental sustainability of their business activities and strategies, particularly related to the use of fertilizers to improve the quality of crops.

Q: Why does Cadbury Ghana Ltd not use organic growing methods?

A: The problem of deforestation and physical quality of the soil make it necessary to use synthetic fertilizer.

Q: How can the land tenure system be changed to improve access to new technology for small-scale farmers?

A: Small-scale farmers cannot afford cost-saving technology. Changing land tenure system is a long-term and difficult process. A tractor contractor system is servicing many farmers simultaneously.

Q: Is water availability a problem in Ghana and how does Cadbury balance water for crops and human consumption?

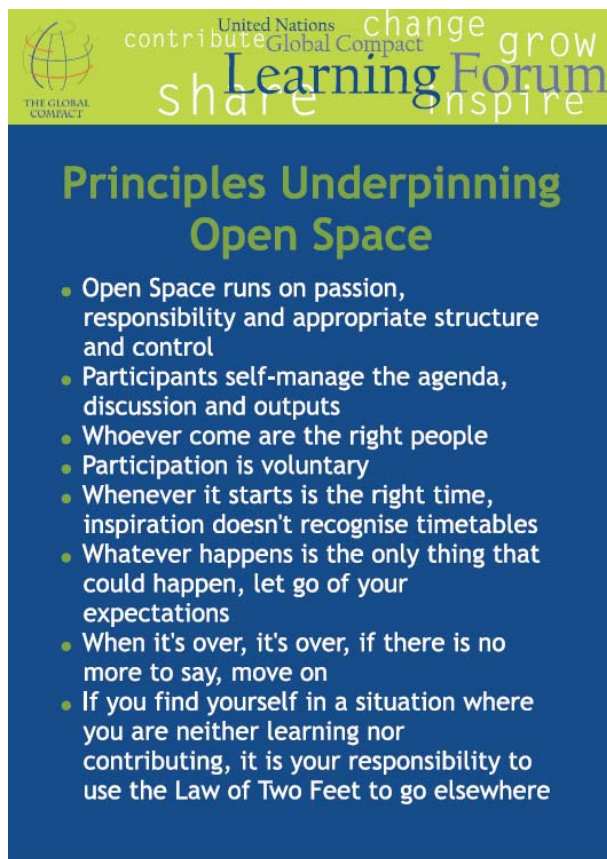
A: No, water is not an issue.

The case discussions highlighted key challenges that could be further explored in the Open Space portion of the meeting and future related-meetings:

- How can companies improve strategies to improve communication with communities?
- How can companies identify appropriate local partners?
- How is it possible to secure sustainable funding for projects?
- How to divide the responsibility between the different actors in a partnership for an effective collaboration?
- What is the public responsibility of the company?
- How can companies develop strategies and operations which ensure that economic benefits reach neighbouring communities?



## OPEN LEARNING SPACE



United Nations Global Compact Learning Forum

contribute change grow  
share inspire

### Principles Underpinning Open Space

- Open Space runs on passion, responsibility and appropriate structure and control
- Participants self-manage the agenda, discussion and outputs
- Whoever come are the right people
- Participation is voluntary
- Whenever it starts is the right time, inspiration doesn't recognise timetables
- Whatever happens is the only thing that could happen, let go of your expectations
- When it's over, it's over, if there is no more to say, move on
- If you find yourself in a situation where you are neither learning nor contributing, it is your responsibility to use the Law of Two Feet to go elsewhere

The Learning Forum Meeting utilized “Open Learning Space” to facilitate discussion and interaction – allowing participants to convene their own small discussion groups to address a multitude of issues. Participants were asked to pose questions which, if answered, could help advance the corporate citizenship agenda. Questions could be related to corporate responsibility globally or on a specific, more personal level – for example, in a given community, industry sector or within an organization. Persons who posed questions then proceeded to convene a discussion on the issue with a small group of interested participants.

Using the Open Space methodology, participants created and managed their own agenda of parallel working sessions around themes of strategic importance. Participants were able to share their experiences and explore their challenges on a wide range of topics. Central to the Open Space philosophy is a willingness by participants to take responsibility over their learning, as sessions are dictated by whatever topic inspires the participants. In many cases, participants discussed the issue and also considered next steps and identified related questions for further debate and exploration.

Select topics addressed in the Open Learning Space sessions:

- How do I ensure my CEO takes CSR seriously?
- How can we bring about effective environmental and waste management in Africa?
- Is there a real commitment by GC companies to freedom of association and collective bargaining?
- How can we measure return on investment for implementation of the GC principles?
- How can Chinese companies that want to operate responsibly be supported in Africa?
- True or False: “CSR is just a lot of bal-bla-bla”?
- What needs to be done to reach a continuous implementation of the Millennium Development Goals?
- How to nations, business and people to solve CSR issues together?
- What do we do about those companies that do not care?
- How do we create a partnership between business, government and civil society to achieve the MDGs?
- When should companies engage in a conflict-sensitive area?
- How can we involve the youth as ambassadors of social change in the communities were we operate?
- How to address small arms proliferation in fragile states?
- How to ensure that participation in the Global Compact is not perceived as “window-dressing”?

Several of the questions revolved around the challenges that business and other sectors face in deciding whether and how to pursue responsible practices. It was generally agreed that, for various reasons, too many people still perceive corporate responsibility as “bla-bla-bla”, either as jargon, “green washing”, too theoretical, or too academic. Therefore, the participants recommended establishing enablers to help organizations give practical meaning to corporate responsibility. For example, the development and diffusion of codes and standards within a company based on the Global Compact’s ten principles, as well as public-private partnerships. Moreover, participants stressed that corporate responsibility should be seen as a journey and not a status.

## Open Learning Space

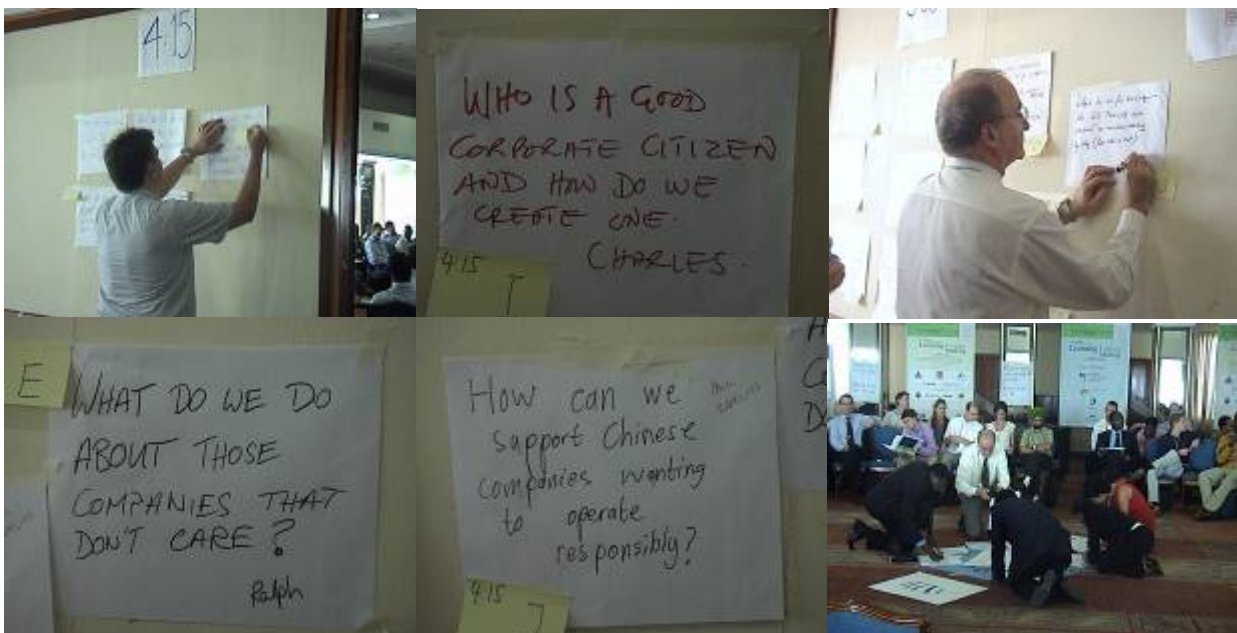


Participants suggest Open Space discussion topics

When pursuing responsible practices, participants stressed the role that leadership plays in ensuring practical implementation around the issues. Participants discussed the need for companies to seriously question if corporate citizenship is truly a part of the way they do business—a part of their organizational culture. Unless the public views the organization as a responsible citizen, their corporate activities stand little chance of appearing genuine. Due to the voluntary nature of the Global Compact, participation does not guarantee credibility for companies. For this purpose, measurement and reporting of practical actions and impact is important. Partnerships with NGOs and other stakeholders can assist in monitoring and measurement of business commitments. Local Global Compact networks also serve as great resources, particularly for taking advantage of possible

synergies. While participants agreed that measurement remains important, they suggested that businesses should steer clear of tick-box approaches to measurement, as effects cannot always be measured. In this way, many companies must also come to view the business case for corporate responsibility activities as a type of insurance policy.

In a brief wrap-up discussion following the Open Space sessions, participants shared views on the methodology and key learnings. Many participants noted that they were able to address important questions in the Open Space either about the Global Compact or about specific issues or regions. However, it was noted that more resource people are needed in the Open Space groups to answer questions when a group is unfamiliar with the information. In many cases, participants noted a large gap in knowledge between new Global Compact participants and more advanced participants. As a result, such sessions must cater to all levels – with more basic information available for less advanced participants.



## Open Learning Space

### **How can we involve the youth as ambassadors of social change in the communities where we operate?**

#### *Discussion Summary*

The UN Global Compact currently does not have a framework that involves the youth. In our opinion, the promotion of the GC principles should start at an early age, as a way of life. We believe that good values begin and can contribute largely to how people conduct themselves in the future. Targeting the youth by bringing awareness will ensure that we are building the future leaders of tomorrow.

Our resolution will be to:

- Create a children and youth charter that will be targeting the various developmental areas. For example, the primary, secondary and tertiary levels.
- Use specific communications channels to reach out to the youth in ways that speak to them.
- Promote sponsored programs that encourage and reward young people for their contribution to being conscientious citizens.
- Assist parents, teachers and various educators/mentors with relevant training.

*Convener:* N. Kelly. *Participants:* E. Langa, C. Odoom, F. Mthoba, J. Ogwezi, K. Poku, V. Worth, B. Ogunrombi, Z. Momodu, R. Lemke, B. Errath, A. Bogui, P. Prinsloo (observer).

### **How can Chinese companies that want to operate responsibly be supported in Africa?**

#### *Discussion Summary*

- There are different types of business relationships between Africa and China:
- Purchasers/suppliers of goods from/to Africa
- Chinese companies supplying services
- (e.g. construction)
- Chinese companies operating business (e.g. mines)
- There may be ways to work with the “cheap” company and then engage that company on corporate responsibility issues. Make it part of the contract.
- Need to engage the Chinese government – perhaps through the ambassador. Also potential engagement of Chinese associations, networks and business associations.
- Start with issues that Chinese companies are more willing to engage on (e.g. environmental issues).
- More advantageous to work with those that want to act responsibly.
- Chinese are short-term investors and less likely to apply CR standards that require medium- and long-term investments.
- There is no domestic pressure on Chinese companies. Weak governance in Africa allows Chinese companies to perform badly.
- International NGOs should raise the issue of Chinese companies.
- The next generation of Chinese businesses will be more global and therefore able to adopt better standards.

#### *Questions for further exploration*

1. How can Chinese companies be held accountable?
2. How can they become part of the UN Global Compact networks in Africa? The problem is that the networks in Africa are weak.
3. What is the business case for a Chinese company to be responsible in Africa?
4. How do you confirm the company is operating according to the specifications?
5. Is there a need to impose greater quality controls for companies?
6. Can the Olympics in Beijing be a catalyst / lever for improving Chinese business?
7. Can we try to use contractual deals with Chinese companies to improve standards?

*Convener:* P. Kapelus

## Open Learning Space

### How can we bring about effective environmental and waste management in Africa?

#### *Discussion Summary*

The rights to a clean and safe environment are integral parts of human rights. Waste management is still a critical concern in Africa – having an effect on citizens, business and the environment. Problems include: non-degradable waste, municipal waste and industrial waste (especially in urban centers); and beach pollution (losing tourism potential).

The key reasons for these violations: lack of hygiene information and technology; indifference and irresponsibility; lack of sanctions; corruption; profit motives. Effective environmental and waste management is everybody's responsibility.

#### *Suggested next steps*

- Re-socialization through massive health campaigns and education programs (including commercial industries)
- Massive advocacy and lobbying
- Good governance and sustained government action (regulations, laws and compliance)
- Community health workers/health officers to be empowered to do their jobs better
- Ensure that corporate entities are sufficiently sensitive and responsive (regulatory bodies to monitor compliance and enforce sanctions)
- GC national networks to build coalition with NGOs to ensure community policing and compliance monitoring
- Government should have code of conduct for extractive industries and insist on adequate implementation (e.g. mining, oil and gas)
- Identify appropriate incentives to encourage corporate bodies to comply with regulations

#### *Issues for further exploration*

- How to get Africans to fully internalize waste management initiatives?
- Find good examples of waste-to-wealth programs and strategies

*Convener:* E. Langa. *Participants:* Z.K. Momodu, E. Chitala, J. Ogwezi, B. Zagel and J. Amegashitsi

### When should companies engage in a conflict-sensitive area?

#### *Discussion Summary*

Session participants discussed a project of the Business Leaders Initiative on Human Rights titled “Good Governance in Sensitive Countries” which is exploring the development of a common framework of shared responsibilities and roles among business, governments, investors and NGOs.

A diversity of views were presented on the following issues:

- How to define sensitive?
- Who are targets/those companies already in or considering going in?
- How does the OECD tool help?
- Would a framework be an assurance or prescriptive?
- Would a framework need to recognize sectoral or regional issues?

#### *Issues for further exploration*

Defining “sensitive” and accommodating sectoral and regional considerations within any common framework

*Convener:* A. Miller

## Open Learning Space

### True or False: “CSR is just a lot of bal-bla-bla”?

Why bla-bla-bla? For some, because the discussion is “over my head”? Because it is too theoretical, too academic? For others, they have been involved in the debate for many years and have developed doubts about its added value, going beyond jargon? Because in some companies the “CSR manager” is removed from the daily, practical operations and work, they are the “PR” person who is doing the bla-bla-bla with the outside world. Because it is different from the old approach in my company or market of “cheap-cheap-cheap”.

Different people have different “story lines”. What’s important is to have clarity on what CSR really means, having a common and agreed definition. The role of business in society has been discussed for centuries; think for example of Adam Smith. What are key elements in a definition of CSR as it is perceived today? In some developed countries, there appears to be a CSR “hang-over”, people being tired of long general discussions about CSR. What is really different in the CSR discussion of the last ten years? What is really different in the CSR discussion today? What added value does the concept/approach/philosophy bring?

Participants mentioned that CSR is not just about saying “my company invests ‘x’ amount in CSR, and what is the return?”, but underlined the need to convey “the how”: how the commitment was implemented, and how employees and others have been mobilized to make things happen.

Session participants felt that CSR is about:

- the role of business in society
- business obtaining legitimacy, improved reputation, license to operate
- accountability
- a map of future sustainability, including priorities defined with stakeholder involvement
- balancing different stakeholder demands
- balancing short-term and long-term considerations and goals
- the business case for sustainable development, as opposed to philanthropy, charity or donations
- the contribution by business to sustainable development of society

Participants noted that social responsibility (SR) is a challenge for all organizations (consider the ISO 26000 process), and not something that should be applied only to business. A government department can also be “socially irresponsible”. Public institutions need to internalize SR through their internal operations. An example cited was a development agency that applies SR criteria in its project feasibility studies and its soft loans provided to developing enterprises, as well as developing a sustainability or SR reporting for the agency.

Participants then discussed “enablers” that can help organizations take action to give practical meaning to CSR. They considered means that help organizations get beyond the “bla-bla-bla”. Suggestions included:

- codes and standards
- leadership
- road map for a process (CSR being a journey, not a status)
- partnerships, including public-private partnerships
- integration

On integration, participants underlined the challenge of having people from different backgrounds and disciplines in a company (e.g. the engineer, finance manager, marketer, HR manager) communicate better between themselves, learning to understand each others language to ensure their respective priorities do not come across as “bla-bla-bla” to each other. To display practical value, it is essential that different disciplines and sectoral areas of expertise learn to communicate better, work together on a systematic manner to ensure they speak a mutually understood language and are on the same page.

*Convener:* Cornis van der Lugt, UNEP

## Open Learning Space

### How can return on investment be measured for implementation of the GC principles?

#### *Discussion Summary*

- Companies are complex entities that operate with all the aspects of GC and need to be measured by boards on a holistic basis
- European companies have a greater focus on less monetary returns but greater emphasis on social responsibility
- For developing countries, gaining access to major markets is possible return for responsible behavior
- Brand loyalty could be a way of arriving at a measurable output
- Corporate image risk measured by the lack of negative publicity
- Corporate image tested annually through external audits
- Utilize country-specific index for each principle that companies could measure themselves against

*Convener:* P. Acucena. *Participants:* J. Duncan, C. Zanardo, M. Gebbers, A. Ferreira, J-R Bouton, N. Leibel, M. Groenbech, A. Lima

### How do I ensure my CEO takes CSR seriously?

#### *Discussion Summary*

Making the best “business case” for corporate responsibility (CR). A key initial step is to end the perceived separation between business and CR – to define CR so that it is not seen as an “add-on”. There is a need to convince CEOs and management of the inherent value of values: how CR contributes to good management practices and an improvement in corporate reputation.

Showing the business case for CR:

- Show how it adds value financially, in terms of reputation, company morale (find examples, case studies, surveys)
- Show that it is part of good risk management; it makes good business sense to comply with standards
- Demonstrate payback, even if it will take time (e.g. energy savings)
- Good practice helps attract/retain the best people (financial savings)
- Present negatives as worst “business practice” cases from within the company – cases illustrating brand damage, costs incurred unnecessarily
- Show how a competitor with CR practices is gaining advantage

#### *Suggested next steps*

1. Work to change management values and rewards
  - Training for top management on Human Rights issues, followed by middle managers. This is crucial to changing values and embedding CR in the company’s business beliefs.
  - Build CR into top management scorecards
2. Show the CEO how CR is better for (through surveys and cases):
  - Company’s results and reputation
  - CEO’s reputation
3. Continue to find examples which illustrate the benefits of integrating CR into business, as well as the damages inflicted by not incorporating such practices. Also, examples of competitors who have benefited as a result of enlightened activities.

*Participants:* B. Le Roux, A. Hari, N. Kelly, F. Mtoba, M. Baliserango, H. Commey, J. Hanks, R. Popper and others

## Open Learning Space

### How nations, business and people can solve CSR issues together?

#### *Discussion Summary*

Government aid agencies can bridge the gap between corporations, donor governments and recipient nations. Governments see CSR as an emerging issue and are not yet providing strong leadership, but they are encouraging companies to adopt voluntary standards to avoid mandatory standards. With better coordination of aid between governments and partnerships with business it would be possible to build incentives (e.g. local recipient government provides tax or other incentives to businesses that offer good CSR programs). Some participants felt that economic incentives would be more effective than voluntary measures. Overall voluntary measures are viewed as weak, resulting in free riders and uneven application.

Some issues are CSR issues for both government and the industry (e.g. supporting harmful industries with subsidies or policy support). Governments may need to revise their view of public policy to incorporate CSR considerations. Must encourage government to engage actively on these issues with corporations and restructure their aid agencies' mandates to include CSR related issues. Economic and structural incentives are preferred to regulation and extraterritorial law.

#### *Issues for further exploration*

Explore ways to get national governments to talk to each other about the challenge of working with business to improve performance in CSR and to develop best practices.

*Convener:* O. Fitzgerald. *Participants:* G. Bhari, Y. Charpentier, K. Blay

### What needs to be done to reach a continuous implementation of the Millennium Development Goals?

#### *Discussion Summary*

Increased activity in the GC and among its participants is important, particularly through strong local networks:

- Each participant in the GC should encourage at least one more company/NGO/governmental authority to become involved
- Each participant in the GC should provide peer support to another company
- Keep existing networks going – participants need to perceive the added value
- Learn from failed processes. Better information during network launches, clarify member expectations and possible fears
- Quick orientation towards contents to keep members motivated
- Facilitating COPs, already existing attempts should be strengthened, perhaps SMEs develop as a group within countries

#### *Questions that need further exploration*

- Do GC participants perceive a linkage between the principles and the MDGs?
- Is continuous education of companies required to achieve better results?
- Should a GC Secretariat focus more on the implementation of MDGs?

*Convener:* U. Klins. *Participants:* A. Boahene, R. Blume, M. Gitsham, A. Hari



## Open Learning Space



Participants study Open Space discussion topics

### What do we do about those companies that do not care?

This was seen as a fundamental, yet difficult, question to answer. It also requires clarification, as companies that do not care are not necessarily ill-willed or negligent. Especially smaller companies may consider corporate citizenship beyond their financial capacity, even though they may be abiding by basic principles of responsible business practice and providing important employment.

The question is also directly relevant to the Global Compact: Should there be integrity measures that sanction members that are seen to be violating the principles? One argument posed was that despite lingering legitimacy concerns among NGOs, such “naming-shaming, jailing-nailing” should rather be left to other mechanisms, such as the courts or the OECD Guidelines for Multinational Enterprises. Instead, the Global Compact should concentrate on being a learning network that inspires innovation, premised on its ability to facilitate debate between different stakeholders. The laggards should simply be left behind by the innovators and leaders.

An alternative image of the Global Compact was that of an “evangelizing” initiative. Here, the emphasis is on integrating GC principles and objectives into existing associations and networks, even if these are relatively informal networks in the developing country context. This emphasis would make the issue of responsible business practices more relevant and inescapable for a greater number of companies. It also makes effective use of social capital and peer pressure.

With regard to exerting pressure on CSR laggards, be they Global Compact members or not, a number of possible mechanisms were considered, such as supply chain pressures exerted by proactive multinational companies and shareholder activism. It was also noted that perhaps voluntary initiatives, such as the Global Compact, cannot have a significant impact alone, and that alternatives, such as economic instruments may require further implementation. However, what if these various mechanisms have little bearing on a company, which is responsible for gross human rights or environmental violations? What if national laws are insufficient or not enforced?

On a broader level, the concern was expressed that corporate citizenship is embedded in the ideology of free markets. In this ideology we see people as consumers or producers, instead of citizens, thereby limiting the choices people ought to be able to make with regard to their relationships to corporations.

The discussion ended with the question: *Should proactive Global Compact members support the enforcement of national laws in instances where laggards are abusing the lack of regulatory enforcement?*

*Convener:* R. Hamann. *Participants:* N. Omata, G. Bahri, J. Hartmann, J. Sagebien, V. Worth



## Open Learning Space



Participants discuss their questions in small working groups



Participants exchange views and share experiences

### **How do we create a partnership between business, government and civil society to achieve the MDGs?**

#### *Discussion Summary*

Participants felt a need for better conceptualization of the links between GC principles and MDGs. It needs to be shown that they are two sides of the same coin. It is important to develop a tool that appropriately communicates this link. Also, there is the need at the international level to initiate some discussions on the benefits of linking the MDGs and the principles of the GC. This will require a convener who is committed to drive this idea and find a common space for all stakeholders: business, civil society and government.

#### *Suggested next steps*

- Local GC networks should begin to mobilize key stakeholders around specific GC principles and specific MDGs (e.g. Malawi)
- Create “stories” of how specific GC principles apply to MDGs in particular geographical context
- Identify champions of the MDG-implementation and GC principles to create a platform for sharing ideas
- GC secretariat should facilitate the formation of a global partnership of businesses, governments, and civil society for a study on GC principles and MDGs.

#### *Questions for further exploration*

- Has any study been done at the global level on the relationship between the GC principles and the MDGs?
- Will local networks receive support in mobilizing businesses, governments and civil society?

*Convener:* A. Boahene. *Participants:* M. Gitsham, O. Fitzgerald, G. Chibwa, P. Kapelus and J. Oduro

## Open Learning Space

### How to ensure that participation in the Global Compact is not perceived as “window-dressing”?

#### *Discussion Summary*

- Try to get external stakeholders not to see GC as green-washing and try to get companies not to see GC as window-dressing, but as a profit incentive.
  - How does implementation of the GC affect my bottom line?
  - Does corporate citizenship need to be profit-based?
  - Will I be trustworthy if our relationship is only based on value for me?
- It may be a question of trust – because sometimes even when principles are implemented it is still seen as “green-washing”.
- Companies must ask themselves if corporate citizenship is part of the way they do business and the culture of the organization.
- Companies must be careful about what is promised and what is then done.
- Corporate citizenship has to be seen by a company as a kind of insurance policy – effects cannot always be measured.
- Measurement and reporting remain difficult – not a tick box exercise. And, in fact, should steer clear of tick-box approach.
- Large companies should also assist supply chain partners to comply with responsible practices and/or the Global Compact.
- Being a member of the GC does not give a guarantee of the credibility of organizations because of the voluntary nature which requires “social vetting”. NGOs and other stakeholders have the responsibility to monitor company commitments, but do not always do so which means some companies are signatories but do not comply. Industry associations can give peer pressure.
- Many big businesses have partnerships with NGOs. Three types of NGOs – skill, principle, and advocacy. Choose your partner carefully.
- Often, concrete small actions are more rewarding for the company as a corporate citizen.
- Local GC networks are essential for synergies.

#### *Suggested next steps*

Move towards a more locally based Global Compact– engaging with local NGOs gives more local trust and collaboration. Also gives more credibility with governments locally and allows the raising of country specific issues. Local networks can create synergies between efforts to create collective action and avoid duplication.

*Convener:* R. Lanaud

### Is there a real commitment by GC companies to freedom of association and collective bargaining?

#### *Discussion Summary*

There are concerns by labour representatives that many companies do not treat the labour principles as seriously as other Global Compact principles. Discussion focused on how to implement theoretical commitments into firm practice. The integrity measures and Communication on Progress were mentioned as potentially important developments.

It was agreed that some companies take all commitments equally seriously and others do not. One company representative pointed out that there was a 2-year internal discussion process before the decision was taken to sign-up to the GC and that they measure their success by feedback from stakeholders, including the trade unions and communities in areas of operation.

#### *Questions for further exploration*

How do participants share information more after this forum particularly on companies?

*Convener:* J. Catterson. *Participants:* P. Dyani, G. Nnanna, R. Noge, E. Chitala, T. Gobel and F. Omojola

### How to address small arms proliferation in fragile states?

#### *Discussion Summary*

Small arms are not manufactured in Africa, but are readily available on every street corner and in the hands of young people. This issue affects all sectors, including the private sector operating in such fragile or failed states.

Recognizing that governments have the primary responsibility to handle and guarantee their citizens' rights to life, safety and security. However, most governments of fragile or failed states are still too weak to address this concern constructively (e.g. no strict gun licensing mechanisms or laws and no capacity to enforce other supporting regulations). Often, military response by government only triggers further militant action by aggrieved parties. Currently, there are no internationally-acceptable instruments for dealing with the movement of small arms into Africa.

The group believes all stakeholders and groups (formal and informal) should play a role. The motivations for use of small arms are linked to many areas: inequitable resource distribution and agitations over control; perceived neglect and non-inclusiveness; pure criminal activities; weak governance structures and corruption.

#### *Suggested next steps*

##### Business

- Subscribe to and live up to universal declaration of human rights and the Global Compact principles
- Increase advocacy and capacity to influence national governments to live up to them as well
- Strengthen CSOs/NGOs capacity to advocate for change
- Undertake effective enlightenment and education of stakeholders within sphere of influence
- Encourage and build capacity of Neighbourhood Watch groups

##### Government

- Domesticate all international laws and regional conventions, and then enforce them
- Ensure good governance structures and increased commitment to addressing this issue
- Identify and provide appropriate incentives to hand-over small arms, as well as disincentives for continued proliferation
- Explore possible strategies including:
  - Amnesty Model (give up unlicensed arms without censor/punishment during amnesty period)
  - All-inclusive and integrated community development plans to address perceived neglects
  - Gun-for-money or Gun-for-farmlands or credits programs (care needs be taken not to legitimize criminality)
- Identify creative ways of channeling youth energy into more beneficial and sustainable income generating/wealth creation ventures.
- Review current resource sharing formulas and royalty distribution

##### NGOs

- Increase their ability to serve as watchdogs for monitoring implementation of these laws and protocols
- Increase advocacy and lobbying efforts to ensure appropriate domestication of these laws

#### *Questions for further exploration*

- Are these concerns covered by the UN Global Compact's human rights principles?
- How can this issue be embedded in the Global Compact, at a minimum as an Africa initiative?

*Convener:* J. Ogwezi. *Participants:* D. Kambalame, O. Soremekun, P. Hollesen, J. Andersland, B. Le Reux, R. Lemke, R. Noge, O. Makinwa, N. Baker, B. Zagel, E. Chitala, K. Blay, P. Kapelus and E. Langa

## **CLOSING PLENARY**

The closing session of the Learning Forum Meeting began with participants sharing their thoughts on the meeting, as well as the Global Compact more generally. Comments from participants were wide-ranging in scope, suggesting that indeed the interests and level of sophistication on the topic of corporate responsibility are highly varied among Global Compact participants. Many people commented that they were leaving the meeting with more knowledge and resolve to take action in their own sphere, as well as share information with peers who were less knowledgeable on the topic.



Marianne Knuth, moderator, invites participants to share their feedback

A point emphasized by several people was the unique nature of the meeting, in terms of networking, level of participation and the highly collegial atmosphere among participants. Participants left the meeting with a sense of camaraderie and community – noting that they felt they had tapped into a network of other individuals facing the same challenges. A final point that received emphasis was the need to strengthen and expand the capacity of Local Networks. Many meeting participants were involved in the Global Compact locally and faced issues with scaling-up interest and incentives for business, civil society and labour to become engaged. Following the round of comments by participants, formal closing remarks were made.

### **Ulrike Haupt**

*Head of Department, Ministry for Economic Cooperation and Development (BMZ), Germany*

As a representative of government, Haupt emphasized the importance of all sectors understanding both the need to work together and how to work together. It is clear in today's world that no one alone has the power to make the types of lasting changes required in so many pressing areas – public-private partnerships are critical. Based on this understanding, Haupt confirmed her ongoing support for the Global Compact initiative and commented that it was highly appropriate for the Learning Forum Meeting to be held in Africa. She expressed her belief that the Global Compact has a unique international standing and that it has achieved much given its relatively short lifespan of six years. In conclusion, Haupt expressed her plans to bring the Global Compact into the discussions of the Group of Eight (G8) Summit in 2007, as Germany is chairing the international forum in 2007.

### **Futhi Mtoba**

*Chairman of the Board, Deloitte Southern Africa and Member, UN Global Compact Board*

Mtoba remarked that the Learning Forum Meeting created a friendly and constructive space where all participants could become immersed in critical interaction and collaboration – able to express opinions and ask questions. At the end of the meeting, however, it felt as though there were many questions and only limited answers. Mtoba stated that all must remain committed to find solutions to the complex challenges placed on various stakeholders and noted the Global Compact has an important facilitating role to play as a learning network that inspires innovation and facilitates dialogue between various stakeholders.

Mtoba reflected on her personal experiences during the Open Space and the issues that she planned to take to the GC Board for discussion. For example, she noted the importance of further integrating the GC principles and objectives into existing associations and networks at a local level. In addition, Mtoba remarked on the need to further develop practical tools for various regions and countries to measure and evaluate corporate citizenship. Best practices need to be showcased so that the disbelievers can start seeing the benefits of engagement with the GC. Finally, she noted that it was clear from the meeting that case studies can be an excellent tool to facilitate learning and many more should be developed. Mtoba concluded by thanking Ellen Kallinowsky for her work in preparing and convening the meeting.

## Closing Plenary

### Mary Robinson

*President, Realizing Rights: The Ethical Globalization Initiative and Member, UN Global Compact Board*

Robinson's closing remarks focused on the fact that the Global Compact is a 21<sup>st</sup> century idea – and we are living in a time of highly complex issues where often there are still more questions than answers. The learning curve is steep. However, it is clear that the multi-stakeholder dialogue approach taken at the Learning Forum Meeting and at other similar events is exactly what is needed to find solutions in a divided, unequal world. She also commented on the need to ensure a multi-stakeholder approach is in effect at all levels of the Global Compact, namely at the local level. The tri-partite structure is the only way to ensure the MDGs are achieved.

Robinson concluded by stating that the true test for the Global Compact is whether the initiative can become meaningful to business and other stakeholders at all levels (e.g. small business, local labour and local civil society), recalling a quote by Eleanor Roosevelt that human rights must matter “in small places, close to home—so close and so small that they cannot be seen on any map of the world”.

### Ellen Kallinowsky

*Head of Office, GTZ - United Nations Global Compact Regional Learning Forum*

Kallinowsky, the overall responsible for the Learning Forum Meeting thanked the Ghanaian Steering Committee members for the commitment and support throughout the preparation for this event. She specifically mentioned the core sponsors of the event, the German Ministry for Economic Cooperation and Development, GTZ, Total and Petrobras. She appreciated those companies and case authors who engaged in sharing and documenting the experiences for their contribution to the content of this learning forum meeting. On behalf of the Global Compact, Kallinowsky also thanked the core partners for this meeting, i.e. the UNISA Centre for Corporate Citizenship and the UNDP Ghana. She invited Joyce Aryee to officially close the meeting.



Ellen Kallinowsky shares a word of gratitude to the organizers and participants

### Joyce Aryee

*Chief Executive, Ghana Chamber of Mines and Chairperson of the Ghana Steering Committee of the Global Compact Regional Learning Forum Meeting*

Aryee posed a closing question to meeting participants: where do we go from here? She reiterated a shared feeling that there are more questions than answers, but challenged participants to remember that “we are the people that can make the principles come alive – whether in academia, civil society, business or labour”. She argued that a person does not need to be at the highest level to bring about changes – changes start small and then expand. Aryee encouraged those gathered at the meeting to “be part of this change”, citing that the space for dialogue and action exists through the Global Compact. She concluded her remarks by ensuring that the Global Compact network in Ghana will remain multi-stakeholder, will move toward self-sustainability and will be fully committed to advance the ten principles among business of all sizes and sectors in Ghana. Aryee formally adjourned the Learning Forum Meeting.



Ghanaian performers say farewell



Jacob



Brazil meets Ghana!



## **FIELD VISITS**

With an emphasis on exploring more effective ways of learning and sharing good responsible business practices, Learning Forum participants were invited to partake in field visits to Ghanaian companies prior to the meeting. The visits allowed for discussion between participants and companies to better understand the successes, challenges and unresolved issues regarding corporate citizenship faced by these specific companies in Ghana.

The companies participating in the Field Visit expressed their willingness to actively engage in a collective learning exercise. These companies were willing to accept the rules of engagement and the methodology for learning and committed themselves to refrain from considering this field visit a marketing exercise. Each company had an explicit “case” around the theme of focus for learning that offered ample opportunity for elaborate discussions.



Participants visit Coca-Cola Bottling Company

### ***The Coca-Cola Bottling Company of Ghana: HIV/AIDS and Human Rights***

There is no doubt that the HIV/Aids pandemic ravaging the world and more specifically Africa is one of the most serious crises within the debates on human rights and sustainability.

While HIV/Aids in Africa North of the Equator looks different from the prevalence of the pandemic to the South of the Equator, HIV/Aids is a reality with which companies and communities in Ghana must cope. There are a number of hypotheses about the reason for the lower prevalence of the disease in North Africa. Some ascribe the lower impact of the pandemic to different and earlier Government interventions. Others ascribe it to the more conservative nature of societies and beliefs. Whatever the reasons for the lower incidence, there are concerns that the current percentages do not reflect the increase in the number of people affected by the disease.

The Coca Cola Bottling Company of Ghana (TCCBCG) is one of the leaders addressing the pandemic in its workplace, as well as assisting those living with the disease in the communities in and around Accra. TCCBCG has a unique approach to addressing the pandemic by using peer educators in the workplace and communities. The visit to TCCBCG provided the participants a unique opportunity to explore the successes of education strategies and interventions, as well as collaboratively engage with solving the paradoxes and challenges TCCBCG, companies in Africa and the global alliance face in addressing the pandemic.

### ***The Cocoa Research Institute of Ghana: Partnerships towards economic growth and environmental sustainability***

Research in the international commercial and corporate domain faces several challenges. While there is increasing pressure to do research and disseminate information, research institutes find it increasingly difficult to find sufficient funding to ensure the constant replacement of obsolete equipment and sufficient staff.

Funding in many cases comes with its own set of challenges. While a sponsor for a commercial research project may lessen the financial constraints and concerns, sponsorship may involve a clause of the non-disclosure of information and a reservation on the commercialization of



Ulli Klins, Global Compact Regional Learning Forum, thanks the local Chief

the research findings. Depending on the terms of reference of the sponsorship, it may challenge some of the ethical principles of the research institute and result in a compromise for the sake of funding and the need for continued research.

The visit to CRIG provided an interesting and challenging opportunity to engage with the challenges faced by a research institute. The specific focus of the visit was to explore with relevant stakeholders the dilemmas and challenges CRIG faces in contributing to the sustainability of research through the commercialization of research findings. Research at CRIG has dramatically enhanced the full utilization of the cocoa pod. This has resulted in, among other benefits, the decrease of waste, the increase of profitability for the cocoa farmers and the broader industry, as well as more sustainable farming and cultivation practices. The research project was made possible by unique partnerships between CRIG, sponsors, farmers and industry.

### ***The Volta River Authority: Company-community relations***

The creation of Ghana's largest dam in 1966, the largest artificial lake in the world, was an important development in bringing electricity to the country. The dam, however, came at a price. Close to 80,000 people had to be resettled. Different ethnic groups, traditions and cultures merged and some traditional farming communities suddenly were challenged to change to take up fishing to sustain themselves. The township of Akosombo was built in 1961 to house the workers involved in the building of the dam. It has won many awards for environmental cleanliness. Many other communities were resettled across the immediate areas impacted by the dam, like New Senchie.

During the visit, participants traveled to the Volta River Authority, Akosombo and New Senchie to explore the impact the dam had on the communities and more importantly, for the relationships between the VRA and its many stakeholders. During the stop in New Senchie, the group received a traditional welcome and had a unique opportunity to see the local chiefs in their royal regalia. This experience was unique – making the group cultural celebrants of an age-long tradition of governance and social organization at the traditional level. Following a stop at VRA, the group was able to interact with various stakeholders and listen to the success, challenges and paradoxes that resettlement involved. This provided the participants with some unique perspectives on company-community relations within the specific context of compensation for land and involvement in resettling and assisting the community to become self-reliant.



Participants visit the VRA plant

## **WORKSHOPS**

### **Business, Environmental Responsibility and Climate Change**

Businesses in many parts of the world are looking more closely at ways of improving their resource and energy efficiency, whilst accounting with greater care their green-house gas (GHG) emissions and examining the emerging markets for emissions trading and carbon-offsetting projects. As markets for wind and solar power appears to double every two years today, the race is on for available and affordable sources of clean energy. For companies in developing countries, there is the prospect of new business opportunities and financing through joint ventures with foreign companies to jointly reduce greenhouse gas emissions. And for companies in non-energy sectors and of smaller sizes, guidance is needed on the nature of the climate change issue, its implications for their businesses (risks and opportunities), and how they can address the issues through changes in processes, technologies, products and services they deliver to their clients and consumers. This session provided the opportunity for national network representatives to discuss local level awareness and needs of business in dealing with the risks and opportunities associated with global climate change.

Key questions prepared by participants: What are the needs of local business in addressing climate associated risks and opportunities in your region; Is enough being done, and if not what are the obstacles / what needs to be done as a priority; What help can be provided through the Global Compact in mobilizing action to take the required, strategic business and financing opportunities and advance new clean development business models?



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### **Hidden Hunger – Strategies and Lessons Learned for Ghana**

The phenomenon of vitamin- and mineral deficiencies, also known as “hidden hunger” or micronutrient malnutrition, affects about 800 million people worldwide. Poverty is not only an important reason for inadequate nutrient intake – but poverty is also reinforced through the disastrous impacts of “hidden hunger” on individuals and populations including blindness; losses of individual cognitive capacity, educational opportunities, productivity; and significantly higher health system costs. The economic dimension of ‘micronutrient deficiencies’ amounts to 2% GDP losses in some African countries, including Ghana. However, Ghana decided to tackle micronutrient malnutrition through a national food fortification program that encourages the fortification of staple foods with essential micronutrients. Supported by the public sector, local staple food producers such as flour and oil millers are supported and encouraged to engage in food fortification so as to provide those who are most deficient with essential micronutrients.

This workshop, hosted by BASF, enabled participants to learn about a public-private-partnership model that delivers a sustainable solution to a global challenge through the market. The dialogue presented the national food fortification strategy of Ghana and then allowed participants to exchange lessons learned and best practices from other African countries, such as Morocco, South Africa and Kenya. Ultimately, the dialogue’s goals was to identify what additional support the private sector and other stakeholder groups engaged in the United Nations Global Compact can provide to support the fight against malnutrition in Ghana.

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## Partnerships for Development

How can the public and private sectors cooperate to increase the efficiency of both development programs and private sector investments? What can be done to increase the flow of funds to developing countries; and how can such funds be invested towards creating a better enabling environment for economic growth and sustainable development? How can public and private cooperate so that their projects have a positive, tangible and sustainable impact?

This workshop presented the instrument of Public Private Partnerships (PPP), introduced by the German Ministry for Economic Cooperation and Development. The concept is about pooling together resources and competences between the private (a company) and the public partner (the German Development Cooperation) in order to create a triple win-win-win situation: Efficient



and sustainable outcomes for the private partner, the German Development Programs and the development objectives of the partner country. The workshop included a presentation on the general concept of the PPP Program, followed by examples of existing PPPs in Africa presented by a panel of representatives from both the private and the public partners.

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## **AFRICA LEADS**

### **AFRICA LEADS SPREADS THE GOOD NEWS ABOUT BUSINESS IN AFRICA**



Prior to the Learning Forum Meeting Opening Ceremony, the Global Compact and UNISA Press launched *Africa Leads*, a book of vividly illustrated, inspirational stories on globally responsible business being carried out across the Africa.

On hand to present and discuss the book were: Mark Drewell, Guest Editor of “Africa Leads”; Elisabeth Le Roux, Director, UNISA Press; Tracy Steward, Managing Editor, The Mail & Guardian South Africa; Rosemary Noge, Manager Sustainable Development, Gold Fields Limited; Toni Aubynn, Public Affairs and Social Development, Gold Fields Ghana; and Ellen Kallinowsky, Head of the Global

Compact Regional Learning Forum Office.

To develop *Africa Leads*, more than 1,000 contributions were collected from countries across the continent including South Africa, Nigeria, Ghana, Ethiopia, Cameroon, Botswana, Guinea, Mozambique, Kenya and Algeria. These anecdotes were narrowed down to 87 published stories that tell of inspirational leaders who are putting ethics at the centre of their thoughts and actions; education initiatives that are thriving against all odds; and businesses that are creating economic and societal progress in a globally responsible and sustainable way.

*Africa Leads* is filled with examples of people and companies making a difference in Africa, including:

- Kenya’s Mobile 4 Good initiative which alerts subscribers via SMS about job vacancies;
- Use of solar power in Ahoto, a village in northern Nigeria, has changed the lives of many local citizens;
- The Adopt-A-Light campaign in Kenya where companies “own” a street light and use it for marketing purposes, 60 former street children are employed and the lights are kept shining along the major highways leading to Nairobi;
- *Tsotsi* star Zola Dlamini is fanatical about uplifting Africa, especially its youth. He has adopted six children’s homes and orphanages and is an ambassador for the Global Campaign for Education, a UN Goodwill Ambassador and a member of the international celebrity team on Oxfam’s Arms Control Bill.

*Africa Leads* was developed specifically to contribute to a more balanced and positive image of Africa, especially among the private sector and investment community around the world. According to Ellen Kallinowsky, Head of the Global Compact Regional Learning Forum Office, “This book tells positive stories about people, organizations and initiatives in Africa. Real stories. Stories that tell of groundbreaking responses to universal challenges.”

Mark Drewell, Barloworld Group Executive and *Africa Leads* editor, adds, “Our aim was to find the stories that would inspire the world and place Africa in a new light. That meant stories that would not only prompt the reader to think ‘I never imagined that would happen in Africa’, but also to go on to conclude ‘actually, this is impressive wherever in the world it is happening.’”

For more information and to purchase *Africa Leads*, please visit the UNISA Press website: [www.unisa.ac.za/press](http://www.unisa.ac.za/press)

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**Monday 20<sup>th</sup> – Wednesday 22<sup>nd</sup> November**

Field Visits  
Academic Symposium  
Accra City Tour

**Wednesday 22<sup>nd</sup> November**

8.00h – 16.00h      Registration

14.00 – 16.00h      **Workshops**

- **Business, environmental responsibility and climate change: Mobilizing locally to take new business opportunities and advance cleaner development**
- **‘Hidden Hunger’ – Strategies and Lessons Learned for [Ghana](#)**
- **Partnerships for Development**

16.00h      **Opening Session**

- Arrival of Meeting participants and invited guests
- Traditional music and dance welcome by the Ghana Dance Ensemble
- **Launch of the book “Africa Leads”**
  - ♦ **Mark Drewell**, Head of Communication, Barloworld South Africa, guest editor of "Africa Leads"
  - ♦ **Elisabeth Le Roux**, Director UNISA Press
  - ♦ **Tracy Steward**, Managing Editor, The Mail & Guardian, South Africa
  - ♦ **Rosemary Noge**, Sustainability Manager, Gold Fields, South Africa

16.30h      **Opening Ceremony**

- Performance by the Ghana Dance Ensemble
- Arrival of Special Guests of Honour
- Introduction of Chairman
- Chairman's acceptance by **Nana Dr. S. K. B. Asante**, Omanhene (Paramount Chief) of the Asokore Traditional Area and President of the Ghana Academy of Arts and Sciences, Former Director, UN Centre on Transnational Corporations, New York
- Welcome Statement by **Ms. Joyce Aryee**, Chief Executive, Ghana Chamber of Mines and Chairperson of the Ghana Steering Committee of the United Nations Global Compact Regional Learning Forum Meeting.
- Statement by **Mr. Daouda Toure**, United Nations Co-ordinator and United Nations Development Programme Resident Representative in Ghana
- Statement by **Honourable Allan Kyerematen**, Minister for Trade, Industry, Private Sector and President's Special Initiatives
- Musical herald - Fontofrom and seprewa music by the Ghana Dance Ensemble

- Official Opening Address by **His Excellency Mr. J. A. Kufuor**, President of the Republic of Ghana
- Closing Remarks by **Nana Dr. S. K. B. Asante**
- Gratitude by **Klaus Leisinger**, Special Advisor to the Secretary General on the Global Compact; Chief Executive Officer of Novartis Foundation

18.30h **End**

19.30h Welcome Diner at the Aviation Social Centre

### Thursday 23<sup>rd</sup> November

8.00h – 10.00h **Panel debate:** The role of Business in Society. Dilemmas, Impacts and Opportunities.

- Moderator: **Maggie Opondo**, University of Nairobi
- **Panelists**
  - ♦ **Mary Robinson**, President, Realizing Rights: The Ethical Globalization Initiative;
  - ♦ **Andani Alhassan**, Managing Director Stanbic Bank Ghana
  - ♦ **Klaus Leisinger**, Special Advisor to the UN Secretary General on the Global Compact; Head of Novartis Foundation;
  - ♦ **Knut Kjaer**, Chief Executive of Norges Bank Investment;

10.00h – 10.30h Cacao Break

10.30h – 12.30h **Break-out sessions:** Setting the scope

#### Session 1

#### Conflict Prevention and Peace Building

- Moderator: **Claude Perras**, Director International Affairs, Alcan, Canada
- Resource Persons:
  - ♦ **Paul Hollesen**, Manager Community Relations and Social Development; AngloGold Ashanti, South Africa
  - ♦ **Paul Kapelus**, CEO African Institute for Corporate Citizenship, South Africa
  - ♦ **Haskell Sears Ward**, Senior Vice President, Global Alumina, Ghana
  - ♦ **Josef Seitz**, Director, Consult21, France

## Session 2

### Company-Community Relations: From Conflict to Collaboration

- Moderator: **Olajobi Makinwa**, Civil Society Coordinator, UN Global Compact, USA
- Resource Persons:
  - ♦ **Joyce O. Ogwezi**, SP Peace and Security Strategy Implementation, Shell, Nigeria
  - ♦ **Caio Eduardo Zanardo**, Forest Engineer, Votorantim Pulp and Paper, Brazil
  - ♦ **Claudio Boechat**, Professor, Fundação Dom Cabral, Brazil
  - ♦ **Michael Gebbers**, Managing Director, Pharmakina, Democratic Republic of Congo

## Session 3

### Collective Action Against Corruption

- Moderator: **Ime Enang**, Public Affairs Manager, The Convention on Business Integrity, Nigeria
- Resource Persons:
  - ♦ **Daisy Kambala**, Researcher, African Institute for Corporate Citizenship, Malawi
  - ♦ **Sai Kiran Josyabhatla**, Commercial Director RAB Processors, Malawi
  - ♦ **Oonagh Fitzgerald**, Senior General Counsel, Queen's University School of Business, Canada
  - ♦ **Odette Ramsingh**, Head of Department, Office of Public Service Commission, Government of South African
  - ♦ **Roderick Fred Davids**, Manager Professional Ethics, Office of Public Service Commission, Government of South Africa
  - ♦ **Janette Minaar**, Business Unity South Africa, Director I-Value, South Africa
  - ♦ **Kris Dobie**, Researcher, University of Pretoria, South Africa

## Session 4

### Business, human rights and labour rights

- Moderator: **Mary Robinson**, President, Realizing Rights: The Ethical Globalization Initiative, USA
- Resource Persons:
  - ♦ **Stiaan Wandrag**, Sustainable Development Advisor, SASOL, South Africa
  - ♦ **Jonathon Hanks**, Independent Consultant, South Africa
  - ♦ **Ron Popper**, ABB Asea Brown Boveri Ltd, Group Vice President, Head of Corporate Responsibility, Switzerland

### Session 5

#### Partnerships for Peace and Development

- Moderator: **Soren Petersen**, UNDP, Denmark
- Resource Persons:
  - ♦ **Nerys John**, MCDP Project Coordinator, De Beers, South Africa
  - ♦ **Simon Gilbert**, Manager External Affairs, De Beers, UK
  - ♦ **Alan Miller**, Director, McGrigors Rights for McGrigors Law Practice, Canada

12.30h – 14.00h    Lunch

14.00h – 18.30h    **Open Learning Space**

19.00h                Cultural Dinner at the National Theatre

#### **Friday 24<sup>th</sup> November**

8.00h – 12.00h    **Open Learning Space**

12.00h – 13.30h    Lunch

13.30h – 15.30h    **Open Learning Space**

15.30h – 16.00h    Cacao Break

16.00h – 17.30h    **Closing Plenary**

- **Futhi Mtoba**, Chairman of the Board, Deloitte Southern Africa, South Africa
- **Ibrahim Wani**, Chief of Research and Right to Development Branch, Office of the High Commissioner of Human Rights, Switzerland
- **Ulrike Haupt**, Head of Department, Ministry for economic Cooperation and Development (BMZ), Germany
- **Segun Ogunsanya**, General Manager, Chief Operating Officer, Coca-Cola Bottling Company of Ghana Ltd, Ghana
- **Ellen Kallinowsky**, Head of Office, GTZ – United Nations Global Compact Regional Learning Forum, South Africa

#### **Saturday 25th November**

7.30h – 19.30h    Heritage Tour (reservations only)

The Global Compact would like to use this opportunity to thank the following organizations for their financial and organizational support to the success of the International Learning Forum Meeting.



The Ghana companies who supported the Meeting with in-kind donations, hosting the field visits and financial support.

The members of the Ghana Steering Committee  
for the Global Compact International Learning Forum Meeting

