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ISO/TMB/WG Social Responsibility
2nd WG SR-meeting

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8. Annex: Dialogue Record

I. Documentation of the discussion ITG 6 (13.05 -26.05)
II. Documentation of the discussion ITG 6 (06.06 – 03.07)

I. Documentation of the discussion (ITG 6)
(13.05 to 26.05)

EMAIL

Interim Task Group 6: Operationalization ("How") Aspects

Dear ITG 6 Experts,

in the last email (28.April) I asked to come forward with comments or a draft proposal on how to proceed with the task definition of ITG 6.

"Task Definition: to explore what it would look like for the standard to address (e.g., what language might be used) to provide guidance appropriate for all organizations to understand and apply the SR core context, and guidance appropriate for specific kinds of organizations and how these issues might be reflected in a design specification and how these issues might be worked on thereafter. (9.April, Webb)

Mr. Dr Miles Watkins made one contribution to this discussion suggesting to consider following aspects:

„As a starter, we should have a debate as to why the standard should or should not 'look' like ISO 14001, OHSAS 18001 and ISO 9001. I believe that this is a reasonable starting point as a) most organisations that will use the SR standard are probably already using one or more of the other three and b) this will be a reoccurring debate if we do not get it out of the way now." (28,April, Watkins)

In order to speed the discussion I would appreciate comments about Mr. Dr. Watkins´s proposal and/or new proposals.

Looking forward to your contributions.

Best regards,

Prof. Dr. Josef Wieland
Secretary
Interim Task Group 6

Am: Fri, 13 May 2005 12:44:34 -0500
Von: "William R. Blackburn" <WRB@wblackburnconsulting.com>

I do not concur that the workproduct should look like a voluntary ISO 14001 or 9001 or OHSAS 18001 standard. ISO's press release of January 28 which launched our current process made it clear that the proposed standard would

* "not be a management system"
* "not be for certification purposes"
* "not replace existing inter-governmental agreements with relevance to social responsibility"; an
* "take into account…existing global principles, standards, guidelines and knowledge…"

Our emphasis should be on showing how organizations can select and use various existing standards and practices already developed through global multi-stakeholder processes, knitting them together into a cohesive approach to social responsibility. Our job should be to "connect the dots." ISO 14032 provides an extensive complementary list of examples of how different companies around the world addressed EPE. We can prepare something similar for the broader objective of sound social responsibility programs.

Bill

William R. Blackburn

Am: Sat, 14 May 2005 10:24:37 +0800
Von: Dr KM Loi kmloi@streamyx.com

Hi all,

I would go along the line with William's suggestion to tackle this "How" aspects as a guideline and NOT as three important points as raised by him. Repeat. It should not be a management system for certification purposes and not to replace the existing global principles, standards, guidelines and others….

I am of a humble opinion that with the existing and equally well established principles, standards and others, we should bring the mammoth task and put it down on a simple expression on paper where all "the dots" are aligned. Based on the NWIP, several references have been made and do we think it is exclusive. Perhaps, there are more similarly approached at regional and national levels.

Let's establish a frame work or term of reference again to help us to have a common approach (rolled up our sleeves) towards tackling the task ahead with a better focus.

Taking a leaf from ISO Secretariat, let discuss whether it is going to be a standard or TS or TR or IWA or what. I understand that some of us would like to work on it now and would discuss at the later stage whether it should be any of the ISO deliverables.

Nevertheless, let's start the ball rolling.
Regards

KM Loi
Malaysia

Am:, 14 May 2005 18:13:12 +0200
Von: Kim Christiansen kc@lca-net.com

Dear all,

As stated in the plenary in Salvador, the ISO managements systems standards are there to help us writing the guideline standard on SR, not to be copy-pasted. But we are writing an ISO-document and almost all national standards on SR use the MS approach. So using a structure similar to ISO 9001, 14001 and IHSAS 18001 is not conflicting with the ISO press realease, and it would be much easier for users of our guidelines to find something

familiar to what that have already met. ISO 14032 is a collection of examples that works because they refere to the use of ISO 14031. It will not work without 14031. We don't have a 14031 for SR i.e. we need to write both in our standard guideline. Combining inputs from other international standards and agreements e.g. AA 1000 and SA 8000 is a must in our work - and the guideline standard shall (!) refer any certification or verifications issues to these existing standards - but reducing the guideline to a compilation of examples on how organisations have used AA 1000 and SA8000 is not fulfilling the task we have been given.

See the above as an input for discussion!

regards,
Kim Christiansen

Am: Sat, 14 May 2005 13:22:08 -0400
Von: Perla Puterman p.p.s@cantv.net

Dear all,

I would go along the line with Kim suggestion,
However, The ISO SR Standard will not be for certification purposes, not to replace existing inter-governmental agreements with relevance to social responsibility; and take into account…existing global principles, standards, guidelines and knowledge, as MR William had mentioned. I consider that we can use the same structure of the standards already existing as a frame work to develop the SR items. In the other hand, all the ISO standards, including the standards which include specification are voluntary, which means only the companies, decide whether to apply them or not.

By the way If I understood correctly, Mr. Miles proposal, he is not telling us to developed a new managment system, his idea is to take in account or not the existing Standards to develop the new one. As I can remember, in the group 2 we decide not to create new managment systems, but we decide too, to take in account the existing standards.

Best Regards,

Perla
Ing. Perla Puterman S.

Am: Sat, 14 May 2005 22:33:16 +0200
Von: Dick Hortensius Dick.Hortensius@nen.nl

Dear all,

Please find attached some thought related to the issue to be addressed by ITG 6.
I think that we should not re-write a management system approach to SR, but should acknowledge that many organizations have implemented management systems and that we should provide guidance on how to integrate SR into the organization's management framework (this is what we initially discussed in Salvador).

Attached are:
- ideas presented in Salvador and further developed therafter;
- an article published in ISO Managememnt Systems in which we draw parallels between SR and the way in which ISO has addressed quality and environment.

best regards,

Dick Hortensius
Senior Standardization Consultant Management Systems

Am: Sun, 15 May 2005 16:29:03 +0200
Von: Jens Henriksson jens.henriksson@sverigeskonsumentrad.se

Dear all,

Just a brief note to say that I support the comment made by Kim Christiansen.

Best regards,

Jens Henriksson

Am: Mon, 16 May 2005 09:33:19 +0100
Von: "Watkins, Miles" Miles.Watkins@aggregate.com

All

I was simply suggesting that users may appreciate a familiar 'shape' to the document. This will simply mean that they will be able to find what they are looking for easily without having to be conversant with a new document structure.

MW

Am: Mon, 16 May 2005 18:29:08 +0200
Von: BERTASI Stefano stefano.bertasi@iccwbo.org

Dear fellow ITG 6 experts,

Please find below my views in response to Prof. Dr. Wieland's e-mail and the proposal by Miles Watkins of having a debate on whether the standard should or should not 'look' like ISO 14001, OHSAS 18001 and ISO 9001.

I agree with Miles that this question is certainly one that will colour the discussions of the entire Working Group unless it can be put to rest in a satisfactory manner, and preferably earlier rather than later in the process, if we are to make substantive progress.

My own perspective on this is that the recommendations of the ISO Advisory Group on Corporate Social Responsibility, the resolutions of the ISO Technical Management Board, and the New Work Item Proposal all state quite clearly that the purpose of the Working Group is not to develop a management system standard on social responsibility, but rather to produce a guidance standard on social responsibility.

Therefore, while the various ISO and other standards referred to by Miles should clearly be taken into account as relevant instruments that organizations can be referred to in offering them guidance on how to approach social responsibility, it would not be appropriate or helpful in my view to model the design of the guidance standard to be developed by our Working Group along the lines of existing management system standards.

For the above reasons, I believe that the proposals made by various speakers at our Salvador meeting, including in particular those by Messrs. Fukada and Greene hold the best prospects for being able to produce a workable and sufficiently flexible design for the guidance standard that we have been tasked to develop.

I take Miles' point that various organizations already using the standards he cites will be familiar with the management system standard approach. However, my feeling is that such an approach and design are not applicable to the guidance standard on social responsibility that we are expected to produce.

I trust that the above is useful.

Kind regards,
Stefano Bertasi

Director and Deputy Head
Department of Policy and Business Practices
International Chamber of Commerce (ICC)

Am: Mon, 16 May 2005 12:04:30 -0500
Von: "Adam B. Greene" agreene@uscib.org

Dear All:

First, to answer the question posed by Prof. Wieland, we do not need to debate whether or not we should look to existing ISO management system standards (MSS) as a model for the guidance standard on social responsibility for the simple reason that the TMB has already decided that we are NOT to create a MSS. Since the SR guidance standard is NOT going to be an MSS and will NOT be for certifictaion, we do not need to worry about existing MSS in the design of the SR guidance standard. We should therefore conern ourselves with producing useful and practical guidance on SR for all users, not just the relatively small number that already use an ISO MSS.

Second, ITG-6 is looking at issues broader than simply "how". We have been asked to explore the organizational aspects of SR: Guidance appropriate for all organizations as well as guidance appropriate for specific types of organizations, which can include governments, private enterprises, NGO's, trade uinions, etc. There is a wide range of practical guidance that can and should be included in this section of the SR guidance standard.

Best regards,

Adam Greene
Expert Representing the International Organization of Employers (IOE)
Industry Stakeholder Group

Am: Mon, 16 May 2005 15:23:27 -0400
Von: Bob White bob@bri.ca

Hello people,

Please accept the following contribution to this extremly important debate.

I believe the SR Guideline should be linked to existing best practice standards and models related to management systems for ISO 9001, ISO 9004, ISO 14001, OHSAS 18001, SA 8000 and AA 1000 with the GRI as the reporting framework.

My reasoning is based on the following:
1. From the direction we recieved from ISO:
Some of the conditions imposed by the ISO Technical management Board with regard to the SR standard include:
• The standard will apply to all types of organizations, not just the

corporate sector
• The standard will be a tool for the sustainable development of organizations
• The standard is not be to be used for third-party certification

The standard will be written in a manner flexible enough to support current initiatives, conventions and tools as well as future developments in this field, and in such a way that it does not stifle creativity within organizations as to how they address social responsibility.

The following wording would be appropriate:
“This International Standard provides guidance to enable an organization to formulate SR systems taking into account communication of stakeholders. It is not intended for certification purpose, or regulatory or contractual use.”

Throughout the standard, the verb form “should”, shall be used. Only one standard shall be developed. This direction does not preclude or even encourage avoidance of a guidance document that is a Social Responsibility Management System (SRMS).

A Management System is defined by the International Organization for Standardization as “that part of the organization's management system that focuses on the achievement of results, in relation to defined objectives, to satisfy the needs, expectations and requirements of interested parties or stakeholders, as appropriate. The management system objectives complement other objectives of the organization such as those related to growth, funding, profitability, the environment and occupational health and safety.“

A SRMS also contributes to the achievement of the New Work Item Proposal which was approved by ISO membership, and states that the proposed standard seeks to:
• Assist organizations in establishing, implementing, maintaining and improving social responsibility frameworks;
• Support organizations in demonstrating their social responsibility through responsiveness and the effective engagement of all stakeholders including employees, which may enhance their confidence and satisfaction;
• Facilitate credible communications on the organization’s commitments and performance related to SR; and
• Promote and maintain greater transparency and fairness in organizations.

The standard will be a tool for the sustainable development of organizations while respecting varying conditions related to laws and regulations, customs and culture, physical environment, and economic development.

We must build on the work that has been done by all of the ISO and other committees that have developed voluntary management system standards.

2. Use of the Guideline for Certification or Registration

This guideline, as instructed, will have 'shoulds' and no 'shalls' as in the ISO 9004 Quality management System Guideline.

ISO 9004 has been used as a guidance document for TQM by many organizations since 1987 and no one has been registered or certified to it.

Just because the existing voluntary ISO Management System standards have been abused by some users, registrars and customers it does not mean that we should ignore the value in these documents.

Over the last 20 years, I have worked with thousands of organizations, worldwide, that have used these standards to guide the development of a sustainable Integrated Management System (IMS) that has resulted in continual improvement of organizational effectiveness and efficiency and stakeholder satisfaction.

A SRMS does not mean 'registration.

3. Adoption of the SR Guideline

We must create a document that is used widely and in great numbers by every size and type of organization in both the north and the south, developed and developing countries.

This will not happen if we add to the existing confusion by creating another CSR model or guideline that ignores the investment that millions of organizations have already made on their CSR journey toward Sustainable Development, even if they do not know they are on the journey.

The SR Guidance document must allow those organizations that have already implemented management systems based on one or more of the above standards (ISO 9001, ISO 9004, ISO14001, OHSAS 18001, ILO OH&S Guidelines, SA 8000 and AA 1000) to build on their system or they will ignore it.

4. An Integrated Management System

In addition, we need a guideline that shows how to develop a SRMS based on the integration of all of the common elements in the above standards.

Too many organizations have implemented seperate management systems (QMS, EMS etc) based on each of the above standards and guidelines. These 'silo's' have contributed to the reinforcement of departmental 'silo's within the organization. This results in 'suboptimization' because the organization often addresses those issues presented by the most powerful MS manager rather than those most important to the organization and its stakeholders.

A SRMS Guideline that could show how to integrate the management systems required for quality, environment, health and safety and social accountability would have great appeal and be widley used.

Attached is a copy of the report I prepared for the stakeholder group I represent, Canadian industry.

All the best,

Bob

Am: Mon, 16 May 2005 16:36:15 -0500
Von: "Adam B. Greene" agreene@uscib.org

Dear All:

In response to the message from Bob White, I have to disagree on one important point: the TMB very clearly decided that the SR guidance standard will NOT be an MSS.

First, the TMB made clear that no further justification stuidies were needed, including a Guide 72 Justification Study that would be required if they had intended us to write an MSS. Second, presentations by senior ISO staff on this issue state explicitly that this will not be an MSS. And third, one must only talk with members of the TMB to hear very clearly that they do not want the SR

guidance standard to be an MSS.

It is therefore pointless to continue to debate the merits of developing an MSS approach for our work. The MSS approach has been excluded from our mandate, period. We are developing guidance on SR, which can take many forms, but an MSS isn't one of them.

Adam Greene
Industry Expert representing the Internmational Organization of
Employers

Am: Tue, 17 May 2005 06:39:06 +0800
Von: Stan Rodgers <mail@avteq.com.au>

Dear All,

I have read the correspondence offered to date on the work of the Group and believe that this is making a valuable contribution to moving ahead. I would however like to expand upon Dicks work by offering a simplified SR model or approach for your consideration. There are many substeps in the model which I have excluded related to issues such as communication, the identification of and communication with its interested parties etc.

I believe an organisation starts down this path by considering the risk of not assuming its social responsibilities. In my limited experience organisations are rarely 100 altruistic and something triggers an organisation to consider its social responsibilities. This may be the action taken by competitor, a community group or a simply request by its shareholders or its desire to seek further investment.

Once this has occurred the organisation may want to assess its social responsibilities in the context of its operations, its mission, vision, values ethics but also looking at the broader issues as they apply to its business such as the Global Compacts, CERES principles, ICC guidelines, its own corporate standards etc. The output is the identification of its social responsibility risks. (This is similar in concept to the initial review in ISO 14004). These may relate to the environment, competitive advantage, customers/consumers, society (perhaps the local community) financial in terms of investors etc. The organisation may have already addressed some of these by implementing ISO 9001, 14001, SA 8000, adopted International Accounting Standards, AA 1000 etc.

>From this the organisation starts down the familiar path of addressing these social risks by (at this point) setting its Corporate SR policy in conjunction with its interested parties but in the context of is own corporate strategy, budget, future planning etc. This is followed by setting its CSR objectives and targets, putting in place the core elements of a management system such as documentation, records, document control, audits etc. necessary to deliver the organisations CSR policy. It then monitors and measures its performance against its CSR policy and objectives and targets and periodically reviews these against its CSR risks etc. and acts through continual improvement to make any changes.

I look forward to further debate.

Regards
Stan Rodgers

Am: 17 May 2005 07:46:14 +0200
Von: Kim Christiansen <kc@lca-net.com>

Dear all,

I am fully in line with Bob - big supprise. The ISO Technical Management Board Working Group on Integrated Use of Management Systems Standards uses a similar approach without setting up a new MS standard i.e. giving guidance based on the acceptance of the validity and usefulness of existing standards and the experiences in using them as basis for a variety of IMS implementations. The ISO SR WG can in a similar manner use the structure and

process approach as well as the guidelines and advice on the contents outline in management system standards like ISO 9001 and ISO 14001 and AA1000, SA 8000, GRI etc., respectiviely. Neither the IUMSS guideline nor the SR guideline are for certification; if organizations want to certify their management systems and similarly get verification of the social responisbility performance, sustainability reporting and alike, they will still have to use the existing standards and similar offers.

best wishes
Kim

Am: Tue, 17 May 2005 10:19:15 +0200
Von: Hans Hofmeijer <hofmeijer@ilo.org>

I am afraid that many of the contributions to the ongoing debate that support the idea of developing a standard that looks and feels like other ISO standards reflect a fundamental misunderstanding of the SR concept. They do not seem to recognize that most aspects of SR cannot be treated the same way as for instance quality and environment. I sometimes wonder if everyone has actually read and understood the report of the Advisory Group on which the TMB decision was based. Perhaps we should develop a simple test to check this (just joking). Anyway, the whole discussion only proves Adam's earlier point that we will have to deal with the basics in plenary in Bangkok before deciding on design and format issues.

Am: Wed, 18 May 2005 11:53:19 +1000
Von: Deni Greene <deni@greene.com.au>

Greetings everyone
I agree with those who said this is NOT intended to be a management system standard. I believe our guidance on this issue is very clear. Further, the issue of social responsibility is not appropriately handled by a MSS in any case.

We can go round and round on this issue and it appears that those who expressed the view in Brazil that this should be a MSS still hold those views, and those who disagreed in Brazil still disagree. How are we going to reach a consensus so we can move on from this discussion?

Deni Greene

Am:Wed, 18 May 2005 01:24:04 -0500
Von: Tom Rotherham <trotherham@iisd.ca>

Dear all,

There is a way forward, and I think that it lies somewhere in the following:

1. acknowledging that there are two camps who do not want a MSS, but that they have very different reasons for their opposition: one camp does not want a MSS because they believe that there is a need not JUST for process guidance but also for performance guidance (and that the international conventions in particular provide us with a base from which we can draw performance guidance); another camp does not want a MSS because it too easily leads to what they see as a value-negative service: certification of another part of their systems (when in fact they have already paid for certification of their quality system, enviromental management system, OH&S system, ... so the added value is marginal even though the cost is the same).

2. we also must recognize that there are some people out there who would like to use the SR standard as a tool/mechanism to further investigate and promote the harmonization of MSSs. I think that these people must drop that ambition because it is the one complication that we cannot deal with in this process.

3. despite this opposition, we must recognize that some of the guidance that we should provide on SR is process-based and therefore could be considered by some to be systems-based guidance - or the kind of guidance that one might find in a MSS;

4. we must also keep in mind that just because we may have to provide SOME guidance that might be considered systems-based DOES NOT mean that we are developing a MSS. There is nothing wrong with systems-based guidance: there is something wrong with a MSS. The line between too much system-based guidance and not enough is a very grey zone, and probably different in everyone's own mind. But if we can all acknowledge that there is a value, but also a limit, to systems-based guidance - and that the objective is to provide enough to be useful but not so much so that we have effectively created a MSS trojan horse - will help us to take a step forward.

5. As someone who participated in discussions in the SAG recommendations, the Stockholm conference summary, the TMB resolution and the NWIP, I can safely say that all were written in the spirit - if not always the specific wording - of avoiding another MSS. There is absolutely NO WAY that the TMB is going to accept from us anything that looks like a MSS. Anyone who thinks otherwise and tries to proceed otherwise is wasting their time in this WG.

6. the way we proceed is, in my mind, for everyone to stop talking about MSSs and instead to focus on a) what are the systems-based elements that we should really provide guidance on (i.e. that are either not provided in existing sources of guidance, or that are dealt with in existing sources of guidance but not in a way that is appropriate for SR); b) what are the performance-based elements that we should be providing guidance on (and for which we can legitimately do so); and c) very importantly, but so far largely ignored I think, what are the kinds of guidance that we should provide to help organizations work their way through the confusing mess of existing sources of guidance, different SR components with different time-horizons and different levels of influence, different components of society who have to work together differently to pursue different types of SR objectives, different motivations and justifications for investments in SR, ... The longer we spend debating whether or not something is a MSS the less time we spend on this very important third element.

7. Once we have a reasonable draft of the standard we can then proof it against what I believe is the main criteria of the anti-MSS camp: is this standard easily adapted into a certification tool? If not, then everyone can relax. If so, then we have to think about how to change enough to relax these concerns while still ensuring that the guidance is comprehensive and useful.

But the absolute key to being able to move forward is that we need is a common understanding that it is our common objective to develop something that CANNOT be used for certification and that is not limited in scope to the same stuff as the traditional MSSs. Agree to that, stop using the word MSS, and then lets get on with out job.

Best,

Tom

Am: Wed, 18 May 2005 16:18:07 +0900
Von: shizuo_fukada@omron.co.jp

Dear all:

I got late to make comments, but I make my comments as follows. And
I agree with what Hans(Hofmeijer) said in his mail:

1) (Going through with every members' inputs about the captioned subject)
I must emphasize that we need to give respect and honor to what our
predecessors of the SAG members have contributed to this complext
issue in the past for almost two years. The SAG recommendation is
full of the advisors'(consisted of different stakeholders and organizations) the whole wisdom, insight
and the consensus based on the whole-hearted eforts.

2)AND, ISO TMB have already and officially made a resolution to proceed
a guidance document making totally based on this SAG recommendations.
7 recommendations and 9 charateristics. And that followed the NWIP
which was approved. No MSS and No certificaion for 26000.

It is done upto this stage.

3) The SAG recommendation clearly states that SR involves a number of
subjects and issues that are qualitatively different from any other
ISO stds that ISO has dealt in the past. So, this std making is
different from any other ISO MSS standards.

Similarly, any terminology or definition used and applied to the past
MSS standards could/should not be applicable to this new-age,
multi-dimmentional design specificaion. The definition of ISO 26000 should be made out of
the SAG recommendations and TMB resolutions..

4) We just cannot go round and round in a circle on the same path debating
the same subjects, we better make a practical move as members of TG6,
and step up our efforts to find how best we, each organizaiton, can and
should apply this guidance document to and through our each organization.
(Just for your note, I have been involved in this standard making since
the COPOLCO days in 2002, and look like coming back to the same path again).

Also just for your note, the Japanese business circle, Keidanren , is
collecting our practices and preparing recommendations on TG6 applicaiton
methodorogies for various organiztions.

Ricky Fukada
Keidanren & Omron

Am: Wed, 18 May 2005 08:36:24 +0100
Von: "Watkins, Miles" <Miles.Watkins@aggregate.com>

All

My original comments were from the perspective of those individuals whose
desk this will land on after publication. If creating something MSS-like is
politically unpalatable, let's not push water uphill any more and move on. I
felt that this was an important debate as the first thing that those who
have not been involved in this process are going to say is, "it doesn't seem
to fit with the other standards that I have to implement".

However, like I said, let's move on.

MW

Dr Miles Watkins
Group Environmental Manager

Am: Wed, 18 May 2005 10:01:55 -0300
Von: LUIS TRAMA <ltrama@iram.org.ar>

Dear Sirs

I completely agree with the excellent summary of positions on this issue that Tom Rotherham has made. I believe he has exlained very well the 2 positions and which is our way to go ahead

Thanks

Luis Trama
IRAM
Argentina

Am: Wed, 18 May 2005 21:59:38 +0200
Von: Kim Christiansen <kc@lca-net.com>

I am sure that we can learn how to deal with social responsibility issues in a manner using MS as a helping tool and not as a requirement. We had similar arguments when ISO started discussing EMS (you cannot manage environmental aspect in a formalized quality control look alike system...), on Design for Environment (you cannot write guidelines for DFE...), on environmental communication (but 14063 is almost finished) or on occupational health and safety (but we now have OHSAS 18001 and an ISO new work item proposal is on the agenda). I fully support to investigate which aspects of social responsibility we cannot address from af MS perspective (not joking) and I suggest we exchange actual information about this before Bangkok.

I can aggree to Joe Casio's argument, that a MS look alike will be used by some certifiers - but is that not OK? It is a free and open market, so anything giving a profit goes... ISO 14040-series is not for certification - that did not stop an italien certifier for setting up a system for certification of LCAs but is quickly died as the market was not interested and a lot of ISO people opted against this. We already have options for certification of (parts of) social responsibility and I think those existing offers will be seen as more trustworthy and credible than an ISO guideline where its specifically stated that the standard is not for certification.

Just some thoughts

Kim

Am: Fri, 20 May 2005 00:09:24 +0800
Von: yuhiadi <yuhiadi@tm.net.my>

Dear Mr. Greene

I entirely agree with you on the issue of MSS. A definite NO by me on any account, even if TMB had decided to go along the MSS way, which they had not. I believe that in almost all participating

countries there exist CSR / SR with various rich characteristics, and which are in conformity with respective laws, national policies, cultures, and practices. Most MNCs adopt these practices in addition to those they carry from their parent countries wherever appropriate.

DMY Hitam.

Am: Thu, 19 May 2005 17:17:55 +0100
Von: Peter Houghton hconserve@btconnect.com

RE: Interim Task Group 6: Operationalization (How) AspectsDear Colleagues,

1. Reviewing the ITG 6 exchanges on MSS, I declare emphatic support for the positions taken by

Adam Greene & Stefano Bertasi (both of 16.05.05)
Hans Hofmeijer (17.05.05)
Tom Rotherham in his points 2, 4, 5, 6 especially and 7 second para. (18.05.05)
Ricky Fukada in his points 1 and 3 (18.05.05)

The debate instigated by Miles has been useful in flushing out the divergent positions: I recommend we should now get ahead as Tom and Ricky have proposed, viz. in conformity with the TMB's clear directions and with due regard to the wisdom of the SAG's report. The remaining time is short.

2. Kim Christiansen's input of 14.05.05 says, "Combining inputs from other international standards and agreements e.g. AA 1000 and SA 8000 is a must in our work ...". I am not sure what this means exactly.

I draw colleagues attention to ISO/IEC Directives, Part 2 (2004), 6.2.2 (on Normative References) and the Supplement (2001) Annex SM (on IPR).

While there is considerable freedom to mention such documents in a Bibliography, in my view they should not be given a privileged position - and may indeed be quite unsuitable for the many smaller organizations, especially in undeveloped countries. It seems important that ISO 26000 is fully generic, non-overlapping and as self-sufficient as possible, not requiring effectively mandatory acquisition of/reference to, or dependence on, a string of other 'standards' before it can be used, particularly if these have been produced outside the ISO processes and are liable to change in ways which could vitiate 26000.

I wonder if we have consensus on this aspect of 'HOW'?

Best wishes to all,

Peter Houghton

Am: Thu, 19 May 2005 21:23:58 +0200
Von: Lugt Cornis <Cornis.Lugt@unep.fr>

Dear friends,

I was warned once you join an ISO group your inbox explodes. Now I know what they meant! Any event, I have initial remarks based on some valuable comments made so far and based also on the experience we've had in developing the UN Global Compact Source Book with its Performance Model:

1. I agree; let's not waste more time in discussing MSS (possibly adaptable for certification) "yes / no". Key is to look for the different motivations behind these positions (process standard or performance standard; added costs and duplication; lowest common denominator becoming a de facto international ceiling or floor) and to focus on the impact we seek to have from the end product. Other groups

in this process will look at things like issues, principles, stakeholders etc to be addressed. We have the challenge to put the expected actions to be taken by whatever responsible organization in some logical framework. This framework can also suggest, provide guidance on where, in which stages or areas internationally recognized tools (incl certifiable standards of ISO and others) are most relevant / can be consulted or employed.

2. Would it be acceptable to use the word "model" for this framework. In particular, have a look at the UN Global Compact Performance Model (see attached). In preparing the Source Book - edited by WBCSD with BSR, ILO, UNEP and UN GC Office - our experts group agreed on the placing of various internationally tools in different phases / element areas of the Performance Model. Our experts group agreed that the performance model provides a useful starting point or baseline from which knowledge can be shared in a systemic way. For each element area (eg empowerment, processes and innovation, impact on society) it provides a toolbox with relevant "tools" (conceptual instruments), be it principle declarations, codes, or (process, practice, output) standards.

3. At least the performance model addresses the 3d challenge listed by Tom, namely providing guidance through the jungle of tools out there.

4. This approach also makes it clear that you end up with a package that refers to various internationally recognized tools (incl certifiable standards). At the same time, as package it is clearly something that does not lend itself to certification. Yet as a minimum it provides some logical framework for action. If we can not at least provide this, our outcome will be a rather meaningless text that succeeds only in standardizing chaos.

5. Our ultimate goal "should" be to produce something that will have as impact organizations taking action on social responsibility, a model that inspires organizations to act... and act consistently.

Best,
Cornis van der Lugt
UN Global Compact

Am: Thu, 19 May 2005 14:48:22 -0500
Von: "William R. Blackburn" <WRB@wblackburnconsulting.com>

Per our charter, there is no place for structuring anything like a management system. Many of us agree with that.

But other initiatives—especially those developed through global multi-stakeholder processes-- must be given a prominent place in our work. I continue to believe we must find constructive ways of connecting these existing dots, of providing organizations with creative ways of using these initiatives together for an overall effective SR program. Many organizations are doing that now. We just need to articulate a few alternative approaches for how this can be done.

Bill

William R. Blackburn

Am: Fri, 20 May 2005 09:28:34 +0200
Von: Kim Christiansen <kc@lca-net.com>

Dear colleagues,

"combining inputs" means combining inputs i.e. taking ideas, approaches, methods, tools etc. from document already being applied; this does not imply that all organisations using 26000 have to get certified to AA1000, SA 8000, ISO 9001, ISO 14001 etc etc - or sign Global Compact - and the Bibliography will be the natural place to position these reference without any priority

In a similar manner I suggest we look into the national SR standards for inputs on "how".

I would very much appreciate if the active participants in this discussion can confirm that we can use these documents in our work! As in all other ISO standardization work we are not supposed to start on a totally blank piece of paper but to give guidance on how organisations can navigate among existing standards and tools. I have no problems using Global Compact as a framework for this both on the listing of "rights" to be covered (content) and on the modelling and I think it can actually help the process to build on a consensus already reach among a group of international players in the field of SR - as building on consensus on process appraoch, life cycle approach, contineous improvement and multistakeholder dialogue can help!

best wishes
Kim

Am: Fri, 20 May 2005 09:22:00 +0100
Von: "Watkins, Miles" <Miles.Watkins@aggregate.com>

All

Building on Kim's comments from a practitioner perspective, a 'navigation' tool has great appeal. However, I do agree with a number of other participants in this discussion who have suggested that we need to proceed with caution when outreaching to proprietary 'standards' rather than those developed through a consensus-building approach.

MW

Dr Miles Watkins
Group Environmental Manager

Am: Fri, 20 May 2005 06:15:01 -0400
Von: Cascio Joe cascio_joe@bah.com

These are excellent suggestions from Peter.
Joe

From: Peter Houghton [mailto:hconserve@btconnect.com]
Sent: Thursday, May 19, 2005 12:18 PM

Am: Fri, 20 May 2005 16:18:12 +0200
Von: "AGLN (Anne Gadegaard Larsen)" agln@novonordisk.com

Dear all,

First of all let me congratulation all participants in the ITG6 for active dialogue; it is good to see and learn from!!! Also representing one of the perhaps too few practitioners, I want to give you my input on what would work for our company.

To us a 'navigational tool' also has great appeal. Whether this tool includes practical guidance on 'how to' in relation to a MSS or not will have to be discussed, but what has to be remembered is that there might be practitioners wanting to work with ISO26000, which have not yet implemented any kind of ISO specified MSS.

I would like to go back to Tom's suggestion on a way forward. For discussion, I propose that

a) the systems-based elements to be given practical guidance on are:

* How to get started
* How to use materiality as a tool to define where to start and where to end
* How to do stakeholder engagement including being responsive to your stakeholders and does all stakeholders have a legitimate demand?
* How to communicate internal and external
* How to embed in existing management systems.

b) the performance-based elements to be given practical guidance on are:

* How to define by using materiality measures the "requirements" (excuse my limited English for not finding a better word) that any organisation should at a minimum consider before the organisation can claim it is social responsible
* How to measure performance
* How to make performance- and outcome indicators and benchmarks (social responsibility being less mature).

c) what are the kinds of guidance that we should provide to help organizations work their way through the confusing mess of existing sources of guidance, different SR components with different time-horizons and different levels of influence, different components of society who have to work together differently to pursue different types of SR objectives, different motivations and justifications for investments in SR:

* I think that the ISO26000 should exactly do this for the practitioner. The practitioner should not have to read 500 other guidance notes, but should be able to by following the guidance in this embed social responsibility in an organisation.

The mantra for the work could be 'practical, practical, practical'. Remembering that when you talk in third person about 'the organisations on which desks this guidance document will land', these organisations will be the soul in the work.

On an end note I just want to make the point though recognising that it was decided that the guidance document should not be eligible for certification, that we can not exclude the discussion of certification. Certification will be offered by consultancies when the guidance document is published and if we do not take an active stand on how a certification could or should be performed, then the credibility of the guidance document would disappear as it would be the certifier setting 'the standard'.

Wishing you all a nice weekend,

Anne

Am: Fri, 20 May 2005 10:28:58 -0400
Von: "Webb, Kernaghan: OCA" <Webb.Kernaghan@ic.gc.ca>

Dear ITG 6 Colleagues. The emails so far have been useful in identifying views on a number of important operationalization issues.

Perhaps we can now move on to find common ground on the issue of what the standard is supposed to do in the area of operationalization.

There may be value in looking for guidance by drawing on the specific wording of the ISO New Work Item Proposal (NWIP), since the NWIP was voted on and approved by ISO member bodies and is

therefore a fundamental basis for proceeding.

(1) According to the NWIP, the standard is to provide "practical guidance related to operationalizing social responsibility." The NWIP proposal states explicitly that the standard is intended to "assist organizations in establishing, implementing, maintaining and improving social responsibility frameworks".

Perhaps the issues paper could spend some time discussing:
(i) How can organizations establish social responsibility frameworks (SRFs)? What guidance can the standard give on this?
(ii) How can organizations implement SRFs? What guidance can the standard give on this?
(iii) How can organizations maintain SRFs? What guidance can the standard give on this?
(iv) How can organizations improve SRFs? What guidance can the standard give on this?
(v) What are SRFs? What guidance can the standard give on this?

(2) The NWIP states that the standard is intended to "facilitate credible communications on the organization's commitments and performance related to SR", and provide practical guidance on "enhancing [the] credibility of reports and claims made about social responsibility." The NWIP also states that the standard should "emphasize performance results and improvement". The NWIP also states that the standard should "increase confidence and satisfaction in organizations among their customers and other stakeholders".

Perhaps the issues paper could spend some time discussing:

(i) How can organizations best achieve SR performance results and improvement? What guidance can the standard give on this?
(ii) How can organizations communicate their SR commitments in a credible way? What guidance can the standard give on this?
(iii) How can organizations communicate their performance in a credible way? What guidance can the standard give on this?
(iv) How can customer and stakeholder confidence and satisfaction in an organization's SR activities be enhanced? What guidance can the standard give?

(3) The NWIP states the standard is to be "consistent with and not in conflict with existing documents, international treaties and conventions and existing ISO standards". The NWIP also states that the standard is expected "to foster greater awareness and wider observance of agreed sets of universal principles as expressed in United Nations conventions and declarations including the Global Compact principles and particularly the Universal Declaration of Human Rights, The International Labour Organization's Declarations on Fundamental Principles and Right at Work, The Rio Declaration on Environment and Development and The United Nations Convention Against Corruption." The NWIP also states that the standard is expected to "compliment and avoid conflicts with other existing SR standards and requirements."

Perhaps the issues paper could spend some time discussing:

(i) What are the relevant existing documents, international treaties and conventions and existing ISO standards, SR standards and requirements?
(ii) How can the ISO SR standard best align with these existing instruments? Perhaps the model provided by Cornis van der Lugt of the UN Global Compact can be helpful in this regard.
(iii) Are there any issues with use of or reference to non-inter-governmental standards/instruments/documents in the ISO SR standard (other than ISO instruments, for which presumably there would be no problem with referencing)? What is the status of these non-inter-governmental instruments? Are there issues associated with the "proprietary nature" of some of these standards that need to be addressed? What are they?

(4) The NWIP states that the standard is intended to "promote and maintain greater transparency and fairness in organizations."
(i) How can organizations promote and maintain greater transparency? What guidance can the standard give on this?
(ii) How can organizations promote and maintain greater fairness? What guidance can the standard give on this?

(iii) in the context of SR, what do the concepts of "transparency" and "fairness" mean? What guidance can the standard give on this?

(5) The NWIP states that the standard is to assist organizations in addressing their social responsibilities while respecting cultural,
societal, environmental and legal differences and economic development conditions.

(i) what guidance can be given to organizations on how to respect cultural, societal, environmental and legal differences, and economic development conditions?
(ii) what guidance can be given to organizations when there are conflicts or differences between legal requirements stipulated by domestic governments, and norms set out in international instruments which may or may not have been ratified by the domestic governments in question?

(6)the NWIP states that the standard is intended to "support organizations in demonstrating their social responsibility through
responsiveness and the effective engagement of all stakeholders including employees, which may enhance their confidence and satisfaction." For current purposes, it is ITG 4 which is addressing the issue of stakeholder engagement, so for now this particular issue does not have to be addressed by ITG 6, even though there is a strong "operationalization" component to stakeholder engagement.

(7) The NWIP states that "throughout the standard, the verb form "should" shall be used," and that the standard "should provide guidance and shall not be intended for third party certification."
(i) How can the standard address points (1) - (6) above while respecting the need to use "should" language and not be intended for third party certification.

(8) This is just a partial listing of points from the NWIP pertaining to operationalization. As a starting point, I would suggest that we need to identify and agree to all of the points from the NWIP relating to operationalization, and then discuss in the issues paper how the standard could address these points in order to provide useful guidance to all types of organizations, operating anywhere in the world.

I hope this can be a useful catalyst for discussion in ITG 6.

Regards,

Kernaghan

Am:Fri, 20 May 2005 17:33:46 +0200
Von: Hans Hofmeijer hofmeijer@ilo.org

Just a quick reaction to point 3 (i) of Kernaghan's message below. As per article 2 of the ISO-ILO MoU the guidance document will need to be "fully consistent with the object and purpose of the provisions of international labour standards incorporated in ILO instruments, and their interpretation by the competent bodies of the ILO and in no way detract from the provisions of those standards". Obviously, the same is true for other UN Conventions and instruments that are relevant to SR. The guidance document should further clearly reflect the qualitative difference between inter-governmental instruments and private standards such as those of ISO and other organisations concerned with SR. It will need to explain in clear and simple terms what the SR implications of inter-governmental instruments are for day-to-day management of an organization and distinguish their legal consequences from what organizations can do on a voluntary basis that goes beyond legal compliance.

Am: Fri, 20 May 2005 16:01:15 -0400
Von: henry.ce@pg.com

Dear all,
I would like to offer up a way to address the "HOW" and

at the same time achieve a couple objectives. These are:

Ensure that the guidance is 'practical, practical, practical" (Thanks Anne for reminding us of this need)
Does not resemble a MSS and can't be abused
Recognizes the complexity of the SR and the varying needs of different organizations

Interestingly, my perspective is that when organizations are trying to initiate a program or improve their performance they find most value in benchmarking versus asking for a description of the management system. I've been on both ends of this and basically one looks at what other organizations like your self have done, pick the aspects that are most applicable and reapply them. Within industry I have seen this occur for supply chain monitoring, code of conduct, reporting, stakeholder engagement, organization structure and SR policy/implement to name a few. Now, I do believe that some of the SR aspects that lend themselves to providing process guidance e.g. stakeholder engagement and reporting. However, if we try and address all the aspects SR in this manner we will find that it might not be useful or practical.

For example, if an organization is struggling with bribery and corruption, they find it very useful to read how other organizations have successfully handled this issue. First, it is will be easier to convince their management to implement an approach that is proven versus some theoretical process that has not yet been applied. Second, no two organizations and their issues are the same. I like the approach of presenting them with a menu of issues/solutions They can look at and select those that are applicable to their organization and implement them.

If you remember, both Adam Greene and Ricky Fukada proposed the concept of providing guidance on the basis of issues at the last WG meeting. I think that if we combine this with topics that are lend themselves to a process description, we will create guidance that is very practical and allows a menu approach versus going down the one size fits all road. Finally. I think the beauty of this approach is no one can use it for certification since there would be portions of the guidance that you can't certify against (e.g best practices or case studies).

Your thoughts?

Clifford Henry
Industry Expert representing the International Organization of Employers

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Am: Sat, 21 May 2005 01:29:05 +0200
Von: Annette Kleinfeld annette.kleinfeld@kleinfeld-cec.com

Dear colleagues,

I am impressed by your substantial comments which I've been reading now for hours! Entering a discussion late has the disadvantage that most things have been said already, and the advantage that some sort of consensus has developed, at least a common line.

This common line to my mind seems to be summarized quite well by the 3 objectives mentioned below by Clifford Henry. As very helpful I also experienced the comments of Tom Rotherham and those who were referring to his contribution since he very convincingly pointed out the common interest of ALL parties involved to definitely reject anything MSS-like as a result

of our work.

If these objectives were consensus indeed – though perhaps not complete yet – I think we should further concentrate on the question what “practical guidance” exactly means, what it should contain, what it should NOT contain, and how the results of our work might look like afterwards against this background?

To the latter respect I also liked the comments of Cornis van der Lugt talking about a “performance model” – what about a “good practice model”? – in the sense of a “logical framework” that refers to all SR-issues and elements identified as relevant respectively a “must” (expected outcome of ITG 5, I suppose), and recommends tools, measures, procedures (including certifiable standards where reasonable), etc. for appropriately dealing with the respective issues. In addition, examples of good practice (taking into account different types, sizes, branches and countries of organizations) could be added according to Cliffords proposal below.

So much for the moment. Have a nice weekend everybody!

Annette Kleinfeld

(on behalf of the president of the German standardization body DIN)

Am: Sat, 21 May 2005 22:16:55 +0800
Von: yuhiadi yuhiadi@tm.net.my

Dear all'

I agree with Henry Clifford. This approach has greater promise. We in MEF have been considering this approach for some time with the original CSR. The SR is more complex.

Most developing economies have global agenda which are different from those of developed economies. Their priorities are different, especially in regard to issues of interest to humanity which seem to underline the SR - issues of hunger, poverty, aid, etc. concern the vast number of humanity in developing economies.

Most of these countries do not wish to stand in the way developed economies to persue their priorities; and some will be able to move in the same direction now; others may be persuaded later, and should be encouraged to stay engaged with the efforts.

So the "menu' is available to all organisations (national and international) to pick up and internalised when ready.

So in my mind the approach to SR is best suited to down-up rather than top-down consideration of all pertinent issues of the agenda.

Regards
DMY Hitam

Dear Henry

I follow your rationale. It seems we may be on the same track, since in the MEF we have been developing this concept of "menu" from the outset when CSR has been turned to SR. This concept has better promise, especially with developing countries, who are grappling with a multitude of issues placed before them as global challenges.Most of us cannot adjust ourselves with priorities of some developed economies (some even doubt these priorities are valid for the greater part of humanity which seems to underline them).

But most developing economies do not wish to be stand in the way of those developed economies, or

those who can participate in the efforts in the manner they can. Thus the Guideline should encourage them; and others who are not yet ready to come on board be allowed to keep their interest in it.

DMY Hitam

Am:Sun, 22 May 2005 10:28:48 +0200
Von: Simone de Colle <sdecolle@liuc.it>

Dear All,

I do feel that the apparent dichotomy between those who (correctly) say that the new standard is "NOT intended to be a Management System Standard" and..."the others" CAN be reconciled in a common way forward, as someone (Tom Rotherhane and Kernaghan Webb) have already suggested.

My simple 'magic formula' is the following:
We are NOT going to develop a new, specific management system standard for SR, but we do want to provide practical (even practical, practical, practical!) guidance to organizations in integrating SR concepts and principles in ALL THEIR ACTIVITIES (and by the way, I mean integrating, integrating, integrating!).

The underlying assumption I take for granted is that SR deals with the way organizations are managed. Therefore, if one wants to integrate SR into a organization, one has to be prepared to change/improve (potentially) all management systems in use by that organization: SR it is not about just adding a new, special 'SR department' dealing with 'SR issues'…

If we agree with this mandate, there are some obvious implications for our work. To begin with:

1. We need to clarify first of all what the SR concept means, as a general approach, for any type of organizations.
- What guidance can the standard provide on this? Maybe an useful starting point is to provide a definition of what we think SR is...and what is NOT (the main point I would like to emphasize here is to explain the SR concept as a general approach - with many, different applications depending on the organization's type, activities, dimension, location… - and not as a list of 'SR issues').

2. We need to explain what are the core values and principles of SR, and what they means for the way organizations are managed.
- What guidance can the standard provide on this? For example, it could identify a common "SR framework" of values and principles by examining existing SR standards and relevant international documents, and provide 'working definitions' of identified core principles that could include "fairness", "transparency", "accountability", etc…

3. We need to clarify what organizations can do in order to integrate SR values and principles in their strategy and policies.
- What guidance can the standard provide on this? For example, we might say in the standard something like "any organization should state what its Mission and core values are…" and provide guidance on how Mission and values can be developed and made explicit within organizations…

As you can see, the tasks 1. and 2. are within the mandate of ITG5 "SR core context", where unfortunately there has not been such a rich discussion yet, but an initial collection of relevant papers and documents is being carried out. The Co-Secretary of ITG6, professor Joseph Wieland is the co-author

(with Simon Zadek, Christian Brodhag, Lorenzo Sacconi, Emma Baldin and myself) of a research report sent to the EU Commission in March 2005 (which I have sent to the ITG5 Secretary) on the 'convergence' among CSR standards that exactly addressed these 2 initial tasks by benchmarking five different SR standards: AA1000, SIGMA, VMS, SD21000 and Q-RES, and I am sure Josef will be able to provide some useful insights on this for the work of ITG6 as well.

I hope that this is useful.

Best,

Simone de Colle

Am: Sun, 22 May 2005 20:57:29 -0400
Von: Perla Puterman <p.p.s@cantv.net

Dear friend,

I feel the same as Deni from Australia, we are going round and round…and we repeated the same we had said in Brazil…
I think we have three positions, not two....

Some of us consider that the standard should not be a MSS, but should be in relation with…

Others consider that the standard should be a MSS, and others consider that the standard should be a different model…no MSS and no related to the MSS::

In any case, as Tom said the reasons of each point of view are different…

Why we do not read carefully again Dick Hortensius paper, may be, it is a good approach to interconnect the three alternatives.

It is my suggestion

Thanks and regards

Perla

Am: Mon, 23 May 2005 08:00:27 +0200
Von: michael.a@moital.gov.il

Dear All,

I think Perla's suggestion for TG6 to use Dick's paper is a great idea. It is not a MSS but nevertheless gives some content to the guidance, so that it can be more than just a kind of manual. ISO's guidance should be more than just an information providerâ€¦ One doesn't really need ISO for gathering all the relevant documents and stuff about SR. If ISO is investing time (3 years?) and money into the process, one can (should?) expect the process to create something new, whatever this is.

Michael Atlan
Govt. (Israel)

Am: Mon, 23 May 2005 14:55:10 -0500
Von: "William R. Blackburn" <WRB@wblackburnconsulting.com>

I recognize our efforts must produce something of value on SR for a wide range of organizations, not just companies. Nevertheless, from my

perspective as one having lead sustainability programs at Baxter for many years and from the input of a number of my old peers, here is a table of contents for an SR guideline that makes sense to us:

Volume 1. General Guidance

1.1 Purposes of the guideline
1.2 Definition of terms (with background)
1.3 Social responsibility trends
1.4 Existing SR Codes and guidelines
  1.4.1 Codes of behavior (ILO, etc. List by category)
  1.4.2 Reporting-related standards (GRI, AA 1000, etc)
  1.4.3 Management/process standards (ISO 9001, 14001, etc.)
1.5 Processes for prioritizing, selecting and integrating selected sets of complementary codes and standards (this might also discuss enterprise risk management in this context)
1.6 Processes and sources of information for staying informed about SR developments

Volume 2. Case studies

Summaries showing how individual organizations of all types have prioritized, selected and integrated various codes and standards and information sources into a good, overall SR programs.

This does not produce any new management system, and certainly not anything new that is certifiable. Yet it does not ignore the role of existing management systems standards. And it does follow the general pattern of ISO 14031 and 14032 of having guidance in one document and case studies supporting the guidance in another. Moreover, it provides practical guidance on how to operationalize SR, which is the main thrust of our assignment. This is what I mean by "connecting the dots."

Bill

William R. Blackburn

Am:Mon, 23 May 2005 16:19:42 -0400
Von: Cascio Joe <cascio_joe@bah.com

Adam,
I have attached recent materials sent by Dick.
Joe

2 Hort.guidance.pdf application/octet-stream 143,69 KB

3 Hort_article.pdf application/octet-stream 733,64 KB

4 Hortensius.pdf application/octet-stream 59,36 KB

Am: 24 May 2005 09:21:09 +0900
Von: Jooran Lee <jooran@ksa.or.kr>

Dear All,

I'm resending Dick's papers that he sent all ten days ago.
We can get the good concepts from his papers.

Attached :
- A framework for considering the position and contents of ISO guidance on SR
(by Dick Hortensius)
- an article titled "Managing SR in a Systemactic Way" from ISO Managememnt Systems, March - April 2005
(by Louise Bergenhenegouwen and Dick Hortensius)

best wishes,
Jooran Lee
Korean Standards Association (Others)

Am: Tue, 24 May 2005 10:11:58 +0200
Von: Lugt Cornis <Cornis.Lugt@unep.fr>

Dear friends,

I appreciate the value of the model proposed by Dick. However, I would like to suggest that we use the Global Compact Performance Model for this purpose. It highlights explicitly some subelements that are hidden / implicit in the model of Dick, for example impact on employees, on society and the value chain. It also has a very strong focus on stakeholder engagement, but like reporting this is one important tool and there are a number of other key components to SR. If we eg consider corporate environmental responsibility, the element "processes and innovation" in the Compact Performance Model is a key one where tools such as ISO14000 and others such as eco-design belong. The element "impact on the value chain" is again a key one where life cycle analysis as tool is very relevant.

Best,
Cornis van der Lugt
UN Global Compact / UNEP

Global-Compact-Perf-Model.ppt

Am: Thu, 26 May 2005 00:10:59 +0100
Von: Peter Houghton <hconserve@btconnect.com>

Dear Colleagues,

As suggested, I have re-read Dick Hortensius' paper.

Commenting, a fundamental weakness of it for ITG6 purposes is that it is concerned with implementation of a hypothetical SR guidance standard for which we do not yet even have a Design Specification (and with the narrower field of CSR, not, as the TMB has determined, with SR, which is to be applicable to all organizations).

Revealing his standpoint, he says, "When the the ISO decides to develop a guideline for CSR management systems ..." But it has not done so, which rather vitiates his conclusions and leaves his process of induction questionable.

Regards to all,

Peter Houghton

Am: Thu, 26 May 2005 00:12:23 +0100
Von: Peter Houghton <hconserve@btconnect.com>

Dear Colleagues,

Kernaghan offers some useful thoughts with which I can broadly agree - so long as we are not treating SRF as synonymous with 'management system'. However, there seems to me to be considerable overlap in his questions with ITG5's task.

In all the recent argument, I believe we are in danger of losing sight of the most fundamental WG SR need: for a Design Specification.

As I recall from Salvador, ITGs 5 & 6 were, ultimately, created because those present could not agree to the Design Specification proposal N4. I draw colleagues' attention to Resolutions 15 and 17, which are complementary and in effect require ITGs 5 & 6 jointly to make progress towards a Design Specification.

The particular contribution of ITG6 is surely to recommend how the output from ITG5 may be expressed and structured and could also be differentiated (for specific kinds of organization).

On a careful reading of the Salvador Resolutions, it is not ITG6's task to determine, or concern itself with, how the WG SR's guidance should be implemented by organizations receiving it; nor is it for ITG6 to make assumptions in that respect; nor to concern itself with the management system solutions that organizations may (or may not) have devised in response to other standards such as ISO 9001 or ISO 14001. Even if such matters fall to a successor TG(s), the prior task (that in which ITGs 5 and 6 need to collaborate) is to arrive at a Design Specification upon which to base subsequent work.

We are not called upon in ITG6 to write guidance text, simply to recommend how guidance is to be structured and imparted. Unless this latter is done there will not be a Design Specification to offer to the WG for approval.

[Please tell me if and how these thoughts are incorrect.]

As a constructive proposal, I presented an outline structure in Salvador but, like much else there, it received little consideration. I repeat the outline in the attached and would be happy to offer expansion of it to help matters forward. As you can see, it is in no danger of being thought a 'management system' proposal!

With best wishes to all,

Peter Houghton

PS: I note Bill Blackburn's own proposal on structure (23.05.05) and am heartened to see attention moving to that subject.

PH

2 A suggested structure for the SR Standard.doc application/msword 26,00 KB

Am: Mon, 6 Jun 2005 14:52:00 +0200
Von: wieland@fh-konstanz.de

Mozhgan Aliakbari <mgn1343@yahoo.com>, Neill Allan <n.allan@ndirect.co.uk>, "Dr. Brennan Allen" <ballen@waikato.ac.nz>, Federico Andribet <fandribet@arnet.com.ar>, Michael Atlan <michael.a@moital.gov.il>, Viroj Na Bangchang <virojn@hotmail.com>, Stefano Bertasi <sbi@iccwbo.org>, "Dr. Kai Bethke" <k.bethke@unido.org>, Sebastián Bigorito <sbigorito@ceads.org.ar>, "William R. Blackburn" <WRB@WBlackburnConsulting.com>, Patrick von Braunmühl <braunmuehl@vzbv.de>, "Brun, Emilie" <emilie.brun@afnor.org>, Juan Carrera <jcarrera@elotro.org.ar>, Joe Cascio <Cascio_joe@bah.com>, leonor.ceruti@inn.cl, rse@inn.cl, "Dr.Chaiyuth Chavalitnitikul" <Chaiyc@mozart.inet.co.th>, Kim Christiansen <kc@lca-net.com>, Jos Claessen <jos.claessen@kdi.nl>, Simone de Colle <sdecolle@liuc.it>, "Steven P. Cornish" <scornish@ansi.org>, Alicia Duran <aduran@ing.uc3m.es>, Villy Dyhr <vd@fbr.dk>, "Eiichiro.Adachi" <adachi@ird.jri.co.jp>, Abdelmalek Chafai Elalaoui <abdelmalekc@mcinet.gov.ma>, Mathea Fammels <mathea.fammels@mcm.be>, Daniel Fernandez <secgremial@sind-luzyfuerza-cap.org.ar>, Javier Fuenzalida <jfuenzalida@suseso.gov.cl>, Shizuo Fukada <shizuo_fukada@omron.co.jp>, Didier Gauthier <d.gauthier@groupe-seche.com>, Przemyslaw Gorlach <przemyslaw.gorlach@centrala.poczta-polska.pl>, Deni Greene <deni@greene.com.au>, "Adam B. Greene" <agreene@uscib.org>, Mario Font Guido <mfg@mfgconsultoressa.com.ar>, Sofia Hagman <sofia.hagman@kpa.se>, Wolfram Heger <Wolfram.Heger@DaimlerChrysler.com>, Jens Henriksson <jens.henriksson@sverigeskonsumentrad.se>, Clifford Henry <HENRY.CE@PG.COM>, Winistörfer Herbert <win@zhwin.ch>, Mohd Yusof Hitam <yuhiadi@tm.net.my>, Hans Hofmeijer <hofmeijer@ilo.org>, Dick Hortensius <dick.hortensius@nen.nl>, Peter A Houghton <hconserve@btconnect.com>, Anders Holbech Jespersen <ahj@di.dk>, "Justice, Dwight" <dwight.justice@icftu.org>, Koh Juan Kiat <jkkoh@snef.org.sg>, Soodan Kim <sdkim@ats.go.kr>, "Dr. Annette Kleinfeld" <annette.kleinfeld@kleinfeld-cec.com>, Andreas Kovar <andreas.kovar@publicaffairs.cc>, Ken-ichi Kumagai <kumagai@sv.rengo-net.or.jp>, Anne Gadegaard Larsen <AGLn@novonordisk.com>, Jooran Lee <jooran@ksa.or.kr>, Kyung-Han Lee <khlee@ksa.or.kr>, "Dr K.M Loi" <kmloi@streamyx.com>, Alejandro Lorea <alorea@cce.org.mx>, Cornis van der Lugt <Cornis.Lugt@unep.fr>, Alicia Ruiz Luna <alicia_ruiz@idecaquif.com>, Patrick Mallet <pmallet@isealalliance.org>, Christophe Margot <christophe.margot@neosys-ag.ch>, Pierre Mazeau <pierre.mazeau@edf.fr>, "Roman H. Mesicek" <r.mesicek@iv-net.at>, Birgitte Bang Nielsen <birgitte@v-t.dk>, Homeira Noroozizadeh <hom_noroozi@yahoo.com>, Bjarne Pedersen <bpedersen@consint.org>, "Perla Puterman S." <p.p.s@cantv.net>, Stan Rodgers <mail@avteq.com.au>, Siriwan Romchatthong <siriwan@ecot.or.th>, Tom Rotherham <trotherham@iisd.ca>, Ryszard Rozek <ryszard.rozek@centrala.poczta-polska.pl>, María Teresa Saccucci <msaccucci@fondonorma.org.ve>, Mariko Sano <m-sano@shufuren.gr.jp>, Carolyn Schmidt <cschmidt@ecologia.org>, "Dr. Ingo Schoenheit" <schoenheit@imug.de>, Masao Seki <MSeki1@sompo-japan.co.jp>, Roberto Solarte <rsolarte@javeriana.edu.co>, "Dr. Anant Suwanapal" <anant@tisi.go.th>, Angela Tanno <a.tanno@abi.it>, Antonio Tencati <antonio.tencati@unibocconi.it>, Supachai Tepatanapong <supachai@tisi.go.th>, Luis Trama <ltrama@iram.org.ar>, Tarcila Reis Ursini <tarcila@uniethos.org.br>, Susanna Vahtila <susanna.vahtila@sfs.fi>, Patricia

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Dear friends,

Thanks for the inspiring discussion during the last couple of weeks.

For all experts who did not have the chance to participate in the discussion from the very beginning, please find attached the complete and chronological documentation of this exchange of arguments.

In order to take the next step in the discussion, we should try to structure the results of our efforts. Therefore please find my thoughts on what the results of the discussion are and how we could proceed in the upcoming weeks:

I. These are the points on which we all agree:

A) What is not the purpose of ITG 6? 1. We are not going to develop a Management Systems Standard. 2. We are not going to develop a standard for certification purpose. 3. We are not going to develop a standard, which replace existing inter-governmental agreements with relevance. 4. We are not going to develop an integration toll for other management systems.
B) What is the purpose of ITG 6? 1. We will take into account existing global principles, guidelines, knowledge etc. 2. We want to provide practical guidance for implementation/integration of SR concepts 3. We want this guidance for all types of organizations und and maybe also for specific organizations (government, NGOs etc.)

II. There are some tricky aspects in this seemingly well-defined task.

A) If the result we striving for is not a management systems, what is it then? Is it a “guidance standard on SR” (mon, 16.5; Stefano Bertasi) or is it a “process standard or performance standard” (thu, 19.5; Cornis Lugt), is it a “model” or a “navigation tool” (fri, 20.5; Miles Watkins) or a “guidance document” (wed, 18.5; Ricky Fukada)? think the answer to this question depends on the second aspect.

B) If we really want to give practical guidance for all type of organizations we run quite clear into a bunch of problems because these organizations are quite different. On the one hand they don’t share the same practice, and on the other hand they don’t play the some role in SR and don’t follow the same decision making logic. If our practical guidance is very (triple) practical we will not be in a position to produce something like a “guidance standard” but we will probably end up with a description of diversity. So there must be some sort and level of abstraction and this brings us very close to the logic and language of a management system.

III. With regard to what has been said so far and the content of our first round of discussion I think it might be appropriate to talk about a “guidance document on SR” which explains the minimum requirements for implementing successfully a SR management. Some of the participants (for instance: sat, 14.5; Dick Hortensius / fri, 20.5; Anne Gadegaard Larsen/ mon, 23.5; William R. Blackburn/ tue, 24.5; Cornis Lugt/ thu, 26.5; Peter Houghton) contributed detailed structures and frames for this document. When we try to compare these different models we see that they have three features in common:

A) They all talk about Principles, which define and/or describe the spirit, the attitude, the orientation that every type of organizations needs in order to make SR management a living process. Such principles are for example: sustainability, integrity, leadership, process orientation, stakeholder orientation etc. etc. (The task definition of ITG 5 is to explore Social responsibility core context with issues, definitions, principles,…we will therefore communicate with the ITG 5 secretary to see what they are doing in this point.)

B) A further point in common is that these principles must be realized in the every day business. For these purpose any type of organization needs Basic Elements (we might find another word for “elements”). Examples for these basic elements are: Code of Ethics/Code of Conduct, Communication, Training, Incentives etc. etc. Why don’t we discuss these basic elements which every organizations needs in order to implement SR successfully and make the “paper principles” living documents.

C) To give very practical guidance how to realize this principles and basic elements we should add Case Studies. They should reflect (if possible) the diversity of instruments, approaches etc. in organizations and fields of activities.

I think this is one possibility to structure the discussion and the expected output. The core idea is a combination of “practical guidance/any type of organization”. This seems to be the really new aspect and function and this is not competitive with existing standards and initiatives.

I would like to learn about your opinion with regard to this evaluation of the results of the discussion so far, especially with regards to the point ”I.These are the points on which we all agree” (just to close this point of discussion). Furthermore please let me know your opinion on the proposal to structure the discussion and design specification document (“III”).

The leadership of ITG 6 is ready to integrate your proposals and comments to a first draft for such a design specification. Please send your response as soon as possible.

Looking forward to your comments and proposals,

Yours sincerely,

Secretary of Interim Task Group 6

Prof. Dr. Josef Wieland

Am: Mon, 6 Jun 2005 17:58:49 +0200
Von: michael.a@moital.gov.il

Dear Dr. Josef Wieland,

Great effort, but I still thing something of our goal has been forgotten in your list.

In the New Work Item Proposal Annex A in Par.1 "Scope of the Standard" one reads:
"The standard should provide practical guidance related to â€¦operationalizing SRâ€¦ enhancing credibility of reports and claims made about SRâ€¦ emphasize performance results and improvementâ€¦ " (my emphasis â€“ M.A.).

I really do not see any thing in your list guiding TG6 on what to say about "how" to guide organizations as far as performance is concerned, with so much fear from anything appearing close to a management systemâ€¦

The following comment is my last effort on procedural ground. Afterwards, I promise to rest my case.
Nothing in this New Work Item Proposal says anything about not producing a "system management". I guess I am disclosing my ignorance here, but I'd like to know why everybody make the following equation: "not for certification purposes" = "not a system management"? A system management written in a "should" form â€“ as we are guided to do in the NWIP at the end of Annex A and as Mike suggests â€“ cannot be used for certification by ISO related or certificated organizations.

And this is the test. Sure enough, any one can pick it up and do what they want with it. But this will not be done by ISO or on its behalf or under it's umbrella. And there will therefore be nothing new. There already exist standards out there on SR - for 3rd party certification, which are not backed by ISO as such.

Now, the whole idea of ISO getting into this business is to give its weight to something related to SR; to something that is supposed, as I quoted earlier, to provide guidance among other things as to how to "improve performance". All what has been put forward can barely do this. For example, a guidance for all sort of organizations will not come out of any case study...

So maybe those who do not want to achieve real guidance on improvement (among other things) should admit they do not really want ISO to be influential â€“ therefore they do not want ISO to really get along with this project. Let's put the cards on the table and spare us all a lot of time.

Sorry for being so rude.

Michael Atlan,

Govt. Stakeholder

Am: Wed, 8 Jun 2005 11:01:03 +0100
Von: Peter Houghton <hconserve@btconnect.com

Dear Colleagues,

Attached is a contribution to the discussion showing how it would be possible to structure a Guidance Standard on SR which recognizes differentiation of organizations and is a non-MSS solution.

Please include this proposal in your Design Specification drafting considerations.

Regards,

Peter Houghton
Industry Expert, SIEMENS

ISO Guidance Standard on Social Responsibility:

Proposal for the Design Specification

1. An important factor in setting the Design Specification for the ISO Guidance Standard on Social Responsibility (DS SR) is that it should take into account that organizations have substantially differing needs and structures, depending on the stakeholder category into which they fall. Moreover, they may be subject already to category-differing standards, guides, codes of conduct, etc., and use different concepts and languages.

   These differences are over and above issues of size, sector, culture, regulation and legislation, whether individual, national or supra-national.

   It is suggested that provision of guidance in a manageable form would be greatly facilitated and simplified if the DS SR reflects this consideration in the structure it sets.

2. The solution proposed is that there should be essentially two Parts to the main body of the document:

   Part 1: dealing with those matters which are in common to all categories and

   Part 2: comprising six separate sections dealing specifically with each of the six Categories and procurable individually

   Both Parts could have Annexes, Case Studies, Bibliography, etc. as may be appropriate.

3. The advantages of this approach are numerous and include:

   - Individual sections in Part 2 can be expressed in the language of the specific category concerned, giving readier intelligibility acceptability and avoiding dubious compromises
   - Flexibility to allow independent amendment of the sections of Part 2
   - Reduction of the cost of procurement and use of potentially voluminous guidance by
   - Ability to procure only what is applicable and
   - Minimization of the irrelevant information with which a user would be faced in extracting what is applicable

4. An outline structure is attached as Annex A.

ISO Guidance Standard on Social Responsibility

ISO 26000

Proposal for Design Specification

June, 2005

Preconditions for Development

Quote from TMB Resolution 35/2004

"…notes the preconditions stipulated by the AG for ISO activity in the field of SR, and that these constitute a package, and the TMB

- *acknowledges that social responsibility involves a number of subjects and issues that are qualitatively different from the subjects and issues that have traditionally been dealt with by ISO,*
- *recognizes the role of governments and inter-governmental organizations to set social obligations or expectations,*
- *recognizes the instruments adopted by global inter-governmental organizations (such as the United Nations Universal Declaration of Human Rights), international labour conventions and other instruments adopted by ILO and relevant UN conventions), but also that there is scope for private voluntary initiatives in the field of SR*
- *concurs that the scope of any ISO activity on social responsibility needs to be narrowed so as to avoid addressing issues that can only be resolved through political processes*
- *supports the development of an agreement with ILO to govern cooperation between ISO and ILO in the area of social responsibility*
- *recognizes that, due to the complexity and fast-evolving nature of the subject, it is not feasible to harmonize substantive social responsibility commitments*
- *agrees to ensure that ISO processes are adjusted where necessary to ensure meaningful participation by the full range of interested parties,*
- *recognizes that the conference confirmed the AG's recommendation that there is a need for a guidance document, written in plain language which is understandable and usable by non-specialists, and not for a specification document intended for conformity assessment,*
- *further recognizes that the conference indicated that this work should be undertaken immediately and that further feasibility study is not needed,*
- *agrees that such a guidance document should include the elements identified by the AG and others identified in the conference,*
- *concurs that special efforts should be made by ISO and its members to raise awareness in developing countries of ISO's SR activities as well as to ensure their meaningful participation in this work,…"*

The following requirements are deducible from the TMB Resolution quoted

- Ease of reading and understanding
- Ease of implementation and use
- Guidance to be applicable and beneficial to all stakeholders, whether primarily industrial/commercial, government, non-government, labour, consumer or other organizations
- Complementarity to existing guides (e.g., those of the OECD, the ILO, the UN and others) by not duplicating their recommendations but referencing them
- Non-overlap with regulations or other governmental requirements
- Not being a Management System Standard (like 9001 or 14001), thereby avoiding a Justification Study in accordance with ISO Guide 72
- Respect for differences in national cultures, understandings and the constraints they impose on organizational behaviour
- Clarity of relationship with national SR Standards of ISO Member Bodies
- Clarity of relationship with national SR-related governmental regulations
- Ensuring lack of suitability for third-party certification or use as a contractual requirement.

STRUCTURE

following ISO/IEC Directives – Part 2

ISO 26000 - Part 1: Generic guidance

Contents

Foreword

Introduction

An explanation shall be given of the structure of the standard and its division into two Parts and of the function of those Parts and their associated Sections, Annexes, Bibliographies, etc.

1. Scope

The Purpose and Scope of this ISO Guidance Standard on SR is to

- Provide practical guidance to organizations that wish to implement or improve measures on Social Responsibility
- Support key, pre-existing SR-related instruments, whether in regard to substance or implementation
- Be useable by all organizations, regardless of type, size, purpose or location
- Identify a meaningful yet achievable communication methodology applicable to organizations of all types and sizes

This ISO Guidance Standard shall **not** be

- usable for certification or adaptable for contractual purposes
- competitive with or duplicative of SR-related standards from any other organization
- a Management System Standard like ISO 9001 or ISO 14001

2. Normative references

ISO/IEC documents (if any) indispensable to the application of this document.

3. Terms and definitions

- Acknowledgement/repetition of pre-existing SR definitions, as provided by the UN Global Compact, OECD and ILO, without change thereto
- Provision of such other definitions as are essential to this document
- Clear explanations of any important differences relative to other existing definitions, including:
  (a) definitions in national standards and
  (b) definitions in government regulations

4. General Principles

Principles shall be stated which

- promote SR in all organizations, providing effective guidance as a means of self-improvement and creating new added value
- identify and exemplify the core subjects and issues necessary for raising the effectiveness of SR activities, while respecting differences in national, regional and local cultures and other contexts
- respect the autonomy of an organization, its constraints, objectives and achievements, its economic conditions, vision and culture and its ability flexibly to develop and implement its SR-related activities in the most appropriate way
- are compatible and consistent with, and complementary to, existing SR initiatives, guides and standards, thus avoiding confusion at implementation level
- place importance on communication with stakeholders as the organization develops its SR activities (identification of stakeholders, understanding of their expectations, communication of SR results).

5. Generic guidance

Guidance given here may be wide-ranging and deal with any issue, important to SR, provided it is global and generic: it shall provide a platform upon which the stakeholder category-specific guidance of Part 2 can be built. It shall be simply cross-referenced *from* Part 2 but shall not itself reference or duplicate any specific content of Part 2.

Sub-sections of the generic guidance may include

- Fundamental SR aspects and issues
- Stakeholder identification and consultation
- Best practice bench-marking
- Sharing good practice
- Communication of targets and achievements - key types of data; successes; dealing with shortfall and their negative impacts; examples of effective and affordable reports applicable for various sizes and levels of organization
- Use of the ISO website to exchange information and promote SR

- Continual improvement and continuing developments

[This Section may be specified in greater detail following the product of ITG 5.]

6. Annexes

Provided that they have generic and global relevance, informative Annexes may be included as appropriate in support of the foregoing and may provide, for example

- Useful cross-references to other recognized standards, codes of practice, etc.
- Information on organizations providing services in the general field of SR
- Illustrative case studies, etc.

7. Bibliography

A reasonably comprehensive and structured Bibliography shall be provided of documents which are freely available and are of relevance to SR generically and globally. Sufficient information shall be given to permit ready identification and procurement of each document listed.

Category-specific documents shall not be given but shall be placed in the relevant Bibliographies to the Sections of Part 2.

ISO 26000 - Part 2: Specific guidance – Section N: XXXXXXXXX

Part 2 shall be divided into six Sections as follows

Section 1: Government
Section 2: Non-government organizations (NGOs)
Section 3: Commercial organizations (including industry)
Section 4: Consumer organizations
Section 5: Labour organizations
Section 6: Other organizations

Contents

Foreword

Introduction

An explanation shall be given of the structure and Sections of Part 2 of the standard and their relationship to Part 1.

1. Scope

A statement shall be given specific to the subject category and consistent in general terms with Part 1, Scope and the statements in other Scope statements in the other Sections of Part 2. The Scopes of the Part Sections shall be mutually exclusive of one another.

2. Normative references

ISO/IEC documents (if any) indispensable to the application of this document and not listed in Part 1, Section 2.

3. Terms and definitions

Provision of such further definitions as pertain to the subject category of organization and are essential to this document. Definitions shall not duplicate or vary definitions given or referenced in Part 1.

Clear explanations of any important differences relative to other existing, category-specific definitions, including:

(a) definitions in national standards and

(b) definitions in government regulations

4. Specific guidance – Government

This Section shall include

- A general review of government's primary responsibilities in respect of SR (e.g. protection of life, property and the environment)
- Types of "infrastructure" utilized by successful governments to fulfill their responsibilities in respect to SR
- Reasonable and practical guidance on where governmental SR responsibility gives way to that of other organizations and how they may work together effectively.

4. Specific guidance – NGOs

This Section shall provide

- SR guidance for NGOs in the pursuit of their specific agendas, including how to create constructive stakeholder dialogue
- Guidance on SR implementation measures on international, regional, national and local levels
- Guidance on co-ordination and collaboration with other NGOs to avoid competition and overlap of activities
- Focus and priority for effective change.

4. Specific guidance – Commercial organizations (including industry)

This Section shall provide category-specific SR guidance which has particular regard to the variety and diversity of such organizations, e.g. the

- type of business (e.g. timber, ship building, automotive, banking, insurance, retailing, etc.)
- number, variety & complexity of products and services offered
- size of the organization (small, medium or large)
- type of legal entity concerned (government operated, privately owned, public)
- geographical location and dispersion of operations
- cultural variations existent within them

This Section shall also provide guidance to Associations of commercial organizations on how to

- promote SR throughout their membership
- organize cross-industry co-operation to increase individual Association effectiveness
- serve as the key contact-point for a business-government dialogue
- serve as a focus for dialogue with government and NGOs so that these need not address Association members individually.

4. Specific guidance – Consumer organizations

[TBD]

4. Specific guidance – Labour organizations

This Section shall provide guidance on how

- implementation of the ILO Conventions can promote SR
- local labour organizations can co-operate with their local government to achieve local labour regulation, ideally by transposition of the ILO Conventions into national law
- international and regional labour organizations should assist local governments, particularly in less developed countries, to implement appropriate regulation in regard to protection at the work place

4. Specific guidance – Other organizations

[TBD]

5. Annexes

Informative Annexes to each Section may be included as appropriate in further support of the particular category of organization, for example

- Useful cross-references to other recognized category-specific standards, codes of practice, etc.
- Information on organizations providing SR services to the specific category of organization
- Further illustrative, category-specific case studies, etc.

6. Bibliography

Further structured bibliographic references may be provided for each Section to documents which are category-specific, freely available and of relevance to SR. Sufficient information shall be given to permit ready identification and procurement of each document listed. Generic documents listed in Part 1 shall not be duplicated in Part 2.

05.06.05

Am: Wed, 8 Jun 2005 16:39:03 -0500
Von: William R. Blackburn" <WRB@wblackburnconsulting.com

Josef,
There is much merit to what you propose below. Thank you for assembling these thoughts. Here are my comments on your suggestion:

1. I support the assumptions of Part I. By "integration toll for other management systems", I gather you are referring to anything that looks, feels or smells like a discretionary management system standard that may be a stepping stone to a MSS in the future.

2. Regarding II, I agree we need to give practical guidance to a variety of organizations, and therefore our guidance may need to be broken down into general guidance as well as special guidance for large companies, SMEs, government/academic institutions, and NGOs (labor, consumer, environmental, human rights, etc.) I don't agree that this must absolutely take us to something that is "very close to the logic and language of a management system," especially if we take the course you outline in III with the consideration of my comments below.

3. Regarding Part III, the idea of including your principles (organizational characteristics), and some basic elements seem appropriate, provided we don't wade in the forbidden area of setting "social obligations or expectations." I also agree that case studies are a must. But what is missing and must be emphasized, is the practical challenge organizations are facing in understanding and knitting together various existing global, multi-stakeholder-endorsed SR standards, guidelines and codes ("codes"). Practical guidance needs to be provided on these existing codes and on how they can be coordinated with each other and integrated into the organization. In this context, I believe it is perfectly okay to speak about the dozen or so existing management systems standards that are already in place in various organizations. The reality is that ISO, ILO, OECD, GRI, and the Global Compact and other UN instruments are already out there and need not be reinvented. But folks do want to know how these tools can be selected and used in a coordinated way.

Overall, though, I believe you are moving in the right direction. With the above qualifications, we can provide something of real value to organizations and still respect the boundaries we have been given, namely, no management systems process or set of social obligations or expectations.

Bill
William R. Blackburn
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1647 Bernay Lane
Long Grove, IL 60047-9562
Phone: 847.530.4014
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Am: Mon, 13 Jun 2005 08:21:45 +0200
Von: Angela Tanno <a.tanno@abi.it>

Dear All,

I didn't have the chance to follow the debate from the beginning but I finally went through all the messages Prof. Wieland has sent. I still hope to contribuite somehow with the follows:

I'd like to expresse my opinion through the key points excellently elaborated by Prof. Wieland :

I. A) I agree with Adam Green (mon 6 June) when he says that a MSS on SR "would not be valued-added and therefore not influential" for the reasons that have been already expressed and also because, if we consider all kind of organizations, even those small and medium sized, the majority of them is not aware of SR issues (would you say they will be when the standard will be published?) and they would see a MSS on SR like something that they have to implement, even it's voluntary but beacause of the market requests, without understanding why SR can be good for them (in my view this includes the risk of doing something on SR in a time as shorte as possible because of competitors' pressure without planning for succesfull long term commitment).

I. B) I do think that the guidance standard has to give practical advice to implement SR but I think it cannot be done with a plan/do/check/act scheme because what we are speaking about it's a complex of issues and stakeholder relations referring to which there are many different ways of achieving performance results and improvement. I think the standard could be useful if it shows representative best practices on how different organizations can implement SR. I also like the approach of creating a "menu of issues/solutions" (see Clifford fri 20 May).

II. "ISO Guidance standard on SR" is what it's written it the NWIP, and it
has been voted for the "standard" kind of document vs, "technical report" etc.., so I think we could even talk about a "guidance document on SR", that it's what I would much more prefer, but it would be something that we can use among us through work in progress period, otherwise there might be some re-thinking at WG level (please let me know if I'm wrong, I'm not that used with ISO procedures, but I understood that the choice of the document type could be modified also during the working period. If so and if the WG thinks that the standard is not the appropriate type of document for the issue considered, it could vote for it again).

III) Here my suggestion: what about providing guidance on the basis of possible SR instruments, instead of SR issues or SR level of implementation within the structure (considering MSS acceptation)? Considering Prof. Wieland's suggestion, which I very much agree on, the main points of the design structure could be:

1. principles
2. "basic elements", that I would called SR instruments
3. case studies

If we consider Code of Ethics/Code of Conduct, Communication, Training, Incentives, etc. etc instruments by which an organization can implement SR succesfully, we could discuss how they belong to the principles/mission/identity of the organization and what their influence on those can be; how they impact to policies and strategies of the organization; how they are complementary to each other (i.e. if an organization sets up a code of ethics and this is not communicated throughout the organizational structure or this is not provided by focused training, it would not be succesful; etc...). Among those instruments I would include also Reporting and Stakeholder engagement, explaning the process they need to be implemented. I'm fully aware that if a company provides a sustainable report it could not mean it's behaving in a socially responsible way, that's why it would be essential to enphasise the links between principles, policies and instruments. Focusing on instruments (could we think on a menu of istruments/purposes ?) we should avoid the risk of having a broad description of issues per different organizations that could lend to a non useful level of abstraction and, at the same time, we should be able to make very practical guide.

Hope that the above could be of some utility.
Best regard,

Angela Tanno
stakeholder industry

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Italia

tel. +39 06 67 67 570
fax +39 06 67 67 350
a.tanno@abi.it

Am: Fri, 17 Jun 2005 20:36:11 +0100
Von: Anabela Ribeiro <anabelaribeiro@apee.pt>

Hello,

It's the first time I'm addressing to you directly and it's to congratulate you on your work. Fruitful comments and will to move on!

As you know, our time is due on June 30th, witch means we should speed up.

Mr. Wieland sent you a draft proposal. Are there no further comments? Do we agree on everything? We would very much like to hear from you. The last few days have been a little "confused" by the resolution, thai meeting, etc.

Send your opinion, suggestions, comments. The first round was very good. How about the second?

Whishing you well from the Mediterranean,

Anabela Vaz Ribeiro

Co-convenor ITG 6

Am: 16-Jun-2005 18:19:54 AST

Von: Maria E Rencoret <MRencoret@suseso.gov.cl>

Dear Dr. Wieland,

I am sending you proposals of amendments accorded by TG6 Chile.

Best Regards,

Javier Fuenzalida

Summary of comments on proposals from TG6

STRUCTURE Annex A

OBS.	Text Reference.	Comments	Suggested text change
	General	An explanation shall be given of the structure of the standard and its division into two Parts and of the function of those Parts and their associated Sections, Annexes, Bibliographies, etc	An explanation shall be given of the structure of the ~~standard~~ ISO Guidance Standard on Social Responsibility and its division into two Parts and of the function of those Parts and their asso ciated Sections, Annexes, Bibliographies, etc
	Terms and Definitions	Acknowledgement/repetition of pre-existing SR definitions, as provided by the UN Global Compact, OECD and ILO, without change thereto.	Acknowledgement/repetition of pre-existing SR definitions, as provided by the UN Global Compact, GRI, OECD and ILO, UN intruments without change thereto.
	General Principles	place importance on communication with stakeholders as the organization develops its SR activities (identification of stakeholders, understanding of their expectations, communication of SR results). Stakeholder identification and consultation Attach Principles: Ethical Codes	place importance on communication with multistakeholders as the organization develops its SR activities (identification of stakeholders, understanding of their expectations, communication of SR results). Multistakeholder identification and consultation
	Generic Guidance		

Am; Sun, 19 Jun 2005 01:35:00 +0900
Von: Kenichi Kumagai <kumagai@sv.rengo-net.or.jp>

June 17, 2005
To members of TG4, TG5 and TG6

Views on the TG4, TG5, TG6

Kenichi Kumagai, ISOSR-WG expert, Japan, Labor

I. Prerequisites for the Formulation of ISO-SR Standards

1. The new standards should appropriately supplement established international standards on SR.
In order to overcome the negative aspects of globalization, the new Social Responsibility (SR) Standards to be formulated by the ISO (hereinafter "the New SR Standards") should complement, by making full use of the ISO's know-how, the norms that have been sought by international society through the efforts of the United Nations, ILO and OECD, and should contribute to the realization of those norms. In particular, an emphasis should be placed on making the behavior of multinational enterprises more appropriate.

2. The New SR Standards should include full guarantees of the disclosure of information and accountability.
In order to make the Standards fair and transparent, the disclosure of information and accountability should be adequately guaranteed, and the New SR Standards should adequately meet these requirements.

3. The New SR Standards should be formulated in close cooperation with the ILO and other international organizations concerned. Since the New SR Standards include compliance with requirements pertaining to labor and employment, adequate consideration should be given to these aspects, and close cooperation with the ILO and other international organizations concerned is necessary. In terms of the contents of the Standards and formulation procedures, a MOU needs to be concluded with the ILO.

4. The New SR Standards should give adequate consideration to the opinions of the ICFTU and other international labor organizations. International labor organizations, such as the ICFTU and OECD-TUAC (Trade Union Advisory Committee to the OECD) have expressed opposition to any lowering of the established international standards, as the New SR Standards deal with the labor and social areas. Full consideration should be given to alleviating such concerns.

II. Contents of the New SR Standards

1. The New SR Standards should attach explicit importance to the areas of employment, labor and human rights.

(1) The items covered by the standards should be based on the items in the "Japanese Proposal" (3.4.2 "Subjects and issues falling under SR"). Of these, at least those related to international standards such as the ILO's Core Labor Standards and OECD Guidelines for Multinational Enterprises should be mandatory (obligatory).

* Gist of subjects and issues falling under SR in the "Japanese Proposal"
(i) Legal enforcement/compliance; (ii) human rights; (iii) employment; (iv) quality of products and/or services; (v) safety/information security; (vi) environment; and (vii) international contribution

* The ILO Core Labor Standards
* Basic labor rights (freedom of association, rights to organize and collective bargaining)
* Abolition of forced labor
* Elimination of child labor
* Equal remuneration for work of equal value and elimination of discrimination in employment and occupations

(2) Provisions to guarantee disclosure of information and accountability should be instituted.
(3) Adequate standards for the rights of consumers should be provided.
(4) Adequate standards related to other areas should be provided as necessary.

2. The effectiveness of the New SR Standards should be fully ensured.

(1) Provisions to fully ensure the effectiveness of the Standards should be clearly stipulated. If third party certification is rejected, an alternative and concrete measure should be provided to ensure effectiveness.
(2) In addition to mandatory items (obligatory items) based on international standards, there is a need to examine systems containing voluntary items or items encouraging the autonomous response of organizations.
(3) Items which encourage social contributions by organizations should be considered.
(4) Confirmation should be made that a practical manual for the international standards related to the contents of standards and a good practice booklet will be produced, to promote the realization of the Standards.

4. The New SR Standards should ensure stakeholder participation and the prioritization of industrial relations in labor relations.

(1) In terms of the relationship with stakeholders, the term "communications" has many meanings and can be ambiguous, so the term should be replaced with "engagement."
(2) Stakeholders in an organization should be properly selected.
(3) Stakeholders should appropriately engage in the entire SR processes.
(4) Collective bargaining and labor-management consultations, which are established in the international standards, should be preferentially ensured.

III. Procedures for the Formulation of the New SR Standards and the Management of WGs

1. In the formulation process for the New SR Standards, a relationship of close cooperation should be secured with international organizations including the ILO.
(1) The contents of the MOU with ILO should be implemented without fail.
(2) An effort should be made to forge close links with the ILO.
(3) Appropriate cooperation should be carried out with international organizations other than the ILO.

2. In the process of the formulation of the New SR Standards, the fair participation (engagement) of stakeholders should be guaranteed.

(1) Fair participation by stakeholders in the six fields in the standard formulation process should be guaranteed.
(2) Adequate consideration should be given to the opinions of international labor organizations including the ICFTU.
(3) Experts from Japanese NGOs should be elected.

3. The general meeting of working groups should be properly managed.

(1) Efforts should be made to guarantee democratic as well as fair management so that the New SR Standards can have full legitimacy.
(2) Balanced participation by stakeholders of the six fields should be ensured.

Von: Hagman Sofia <sofia.hagman@kpa.se>
Am: Dienstag, 21. Juni 2005 14:48 Uhr

Dear all,

Attached you will find the proposal from the Swedish mirror group, a draft on Design Specification.

Sincerely, Sofia Hagman

Sofia Hagman
Manager CSR

ITG 6 – SR Standard Design Specification
From the perspective of the Swedish mirror group

This document has been prepared by the Swedish mirror group to ITG6. The document covers separate sections:

1. Introduction with an exploration of some basic decisions that from our perspective should be laid down as a prerequisite for the design specification

2. Our proposal for a Design Specification

3. Explanatory notes and justification for the proposed Design Specification

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1. Introduction and basic decisions

ITG6, with the task of addressing the “how” of operationalizing Social Responsibility, has during the last weeks had an extensive e-mail discussion. In this section some of our thoughts to the questions raised in the discussion are mentioned. For further details please see also our response to the questions put forward from Dr. Wieland in his e-mail communication from June 6.

Primarily, we need to build our work on the TMB resolution 35/2004 and the New Work Item Proposal (NWIP), dated 2004-10-07. We should also include the comments on NWIP that were made prior to the first WG meeting in Brazil, March 2005.
Further added the TMB resolution 38/2005.

Below we discuss some questions that need to be answered in order to make a proposal for a Design Specification.

1.1 Standard or guideline or both?

We propose to stay with the NWIP definition: "…and ISO standard providing guidance" and further that it should be a process standard where performance results and improvement are emphasized (again according to NWIP).

→ The standard provides guidance for organizations on how to address their social responsibilities. Performance results and improvement are emphasized.

1.2 ISO 26000 – connection and consistence with treaties and conventions and existing ISO standards.

We believe it could be valuable to position ISO 26000 in relation to other ISO standards and to other treaties and conventions. This would also be necessary in order to fulfill the NWIP requirement not to be in conflict with any already existing document of dignity.

It seems that NWIP acknowledges the spectrum of SR issues listed in the SAG report. This implies that social responsibility in this context should include environmental issues, ethical issues, human rights issues, labor conditions issues and perhaps some more.
The list of SR issues is very broad and by far outranges the issues scope of most other ISO standards. This means that, apart from the fact that the standard should not be a Management standard system (MSS), the standard cannot be seen as a parallel standard to already existing ISO 9001, ISO 14001, OHSAS 18001, SA8000 or other. ISO 26000 should probably be seen as an umbrella standard, which could be positioned above all the mentioned standards… and others as well. Please see also the discussion about ISO 26000 as an integration tool further below. The view of ISO 26000 as an umbrella standard should not mean that it must be a mandatory integration tool.
Now, related to the SR issues covered by ISO 26000, there are several existing initiatives that would be placed on the side of ISO 26000, e.g. that from the wide spectrum of the issues would be similar.

Discussion about ISO 26000 and the use as an integration tool:
We, the Swedish mirror group to ITG 6, believe that it is important to assist organizations that already have implemented management systems, e.g. ISO 9001 or other, to use the ISO 26000. This should be done with the purpose of adding frameworks for the SR issues that they have not managed earlier. Such issues could be business ethics or human rights or other. There might further be new elements that the organization would like to include. It is important not to exclude those organizations from using ISO 26000. In such cases, ISO 26000 shall probably to some extent be used as an integration tool.

On the other hand we support the view that it should be possible to use ISO 26000 as a standalone standard to address social responsibility. (How to do this seems to be a question that is still open.)

Further, the above depends on the distinct definition of "integration tool" that is chosen.

1.3 Which implications does the connection as described above have on the abstraction level of ISO 26000?

Due to the wide scope of SR issues that shall be covered by ISO 26000 the content of the standard must probably be on a high level of abstraction and rather have some options regarding for example methodology than going into any depth. The other extreme of going very much into depth would probably be impeded by the fact that the spectrum of issues is so diverse that it will be difficult to find one universal approach for all of them.

1.4 For whom

The standard must be applicable to all types of organizations, including public services. Probably, again, a set of options could be available for every organization to choose from. The resolution for ITG 6 says that ITG 6 should explore what it would look like to address guidance for specific kinds of organizations. This should be done, but it might prove a very complex task to write a standard that has specific guidelines for every type of organization. Further, due to the probably high abstraction level of the standard itself, it could perhaps be more viable to let every organization choose from a set of optional elements and ask them to explain their choice.

1.5 Organization and Leadership as a prerequisite for a successful SR program

There has been a lot of discussion about the issue of MSS, Management System Standard, or not MSS. TMB decided in the Summer 2004 not to request a management system standard (pls. see also clarification from TMB

with resolution 38/2005). Nevertheless this issue has been debated at length. We believe that one reason for this might be that common MSS approaches (apart from the guideline ISO 9004) literally ignore important leadership and organizational contextual issues. Such issues are leadership in creating a strong culture with values that are integrated throughout the organization. We believe that many organizations have strong internal and values-oriented cultures that, without an explicit management system approach, attain the same level of results (within SR) as other organizations.

Key to success within the SR area is not only to have in place a systematic work methodology but probably at least as much to succeed in creating a cultural context that favors exceedingly high ethics and living up to principles and values. Here we list some of the leadership qualities we would encourage:

- Good role models.
- Deep understanding for cultural differences.
- Deep understanding of the principles and values.
- Knowledge about the balance between environmental, societal and human needs.
- Excellent communications and networking skills.

The above qualities are only examples and by no means constitute a complete list.
Why are those qualities especially important if an organization want to address SR issues?
Again we come back to NWIP and the fact that SR issues are very broad, complex, interdependent; dependent on culture, society, all different types of relationships within the society.

1.6 Verification

NWIP and TMB state clearly that the standard will not be certifiable. We support that.
For the sake of transparency we think it might be useful to remind ourselves of the fact that any verification service might be of use for organizations wanting to “increase confidence and satisfaction in organization among their customers and other stakeholders” and “facilitate credible communications on the organization’s commitments and performance related to SR.” (NWIP Annex A and B.)
We don’t see a way to fully eliminate[1] the possibility to create services related to verification for this standard. The market will finally decide existence and form for verification services.

2. Design Specification Proposal

We propose the following Design Specification:

Contents
Foreword
Introduction

1. SCOPE
The scope is to provide guidance for organizations on how to address their social responsibilities. Performance results and improvement after integration of material issues into the core activities and the backbone of the organization are emphasized.

2. DEFINITIONS
Social responsibility, Stakeholder, Value chain, Etc.

3. PRINCIPLES

4. FRAMEWORK

4.1 Analysis[2]
- Input variables to analysis
- Principles and values
- SR issues
- Value chain approach
- Risk/opportunity, SWOT, FMEA or similar analysis
- Stakeholder engagement

4.2 Specific issues related to strategy, plan, implementation
- Materiality, e.g. which issues
- System boundaries

[1] One sub-group member suggests that we should not use the wording ”fully eliminate” as it might be possible in the future to use some sort of verification of ISO 26 000 but that it is correct to ”fully eliminate” the possibility to certificate ISO 26 000.
[2] One sub-group member suggests that we should name point 4.1 Assessment and Analysis

- Planning with focus on connections to existing standards, initiatives, principles and any already existing management systems within the organization, organizational issues; Matrix for organization that already have implemented relevant ISO standards
- Planning regarding performance, continual improvement and communication of the results
… how to define indicators based on material issues and objectives as well as segments of the value chain that are material
- Leadership
- Culture and living the corporation's values
- Justification for the organization's specific SR concept
[3]

4.3 Evaluation & Reporting
- Quantitative and qualitative indicators, continual improvement
- Reporting framework – commitment and performance
- Other stakeholder related activities

3. Explanatory notes[4]

New elements, or specifically different from other initiatives, within the "how", e.g. operationalizing, are:

- Analysis
- Specific issues related to plan, strategy, implementation
- Evaluation & reporting
- Stakeholder engagement (including communication, for example through reports)

Stakeholder engagement is probably the one element which is integral, e.g. is applicable at many points in time and for different stakeholders at different points in time.

Below we discuss some of the elements mentioned above.

Introduction about Methodology, business & operations models

In order to address social responsibility every organization will use one or several methodologies. We are the belief that the general PDCA-framework is viable in this context. Below we make an attempt to describe a possible general framework.

1. Situation analysis → 2. Strategy and objectives → 3. Implementation → 4. Evaluation → 5. Reporting → continual improvement

Many organizations will choose to go through this loop many times, each time expanding their system, and then in order to refine and ensure continual improvement.

We want to stress the fact that organizations have very different business & operations models. It is crucial not to impede any organization in finding and using their own model to achieve their results. We have taken the PDCA-model as mentioned above, because it is a well-known model and fits into the ISO family of standards. But we welcome any model that fulfills the objective of this standard for SR.

3.1 Analysis[5]

- Input variables to analysis
Such are other initiatives, standards, conventions.
- Principles and values
Principles as chosen by the organization itself (from a generic set) and values that are the organization's
- SR issues
List of issues…
- Value chain approach
- Risk/opportunity, SWOT, FMEA or similar analysis
- Stakeholder analysis, dialogue and engagement

We find it very important that every organization is well aware of its core processes and/or core activities. The DNA of the organization's work with addressing SR should be related to core processes/ activities.

3.2 Specific issues related to strategy, plan, implementation

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[3] One sub-group members suggests we add the headline "Essential changes" to answer the question what the organization should do to maintain social responsibility when essential changes such as new products and new services are introduced.
[4] A suggestion from one of the sub-group members is that this part, explanatory notes, should be moved to part 2 Design specification proposals
[5] One sub-group member suggests that we should name point 3.1 Assessment and Analysis

Materiality, e.g. which issues
- Impact/Risk/Opportunity on environment, society, stakeholders and degree of influence
- In which parts of the value chain (up-stream, down-stream, geographical dimension, other dimensions or categories)

System boundaries
The standard should assist organization in defining their system boundaries – regarding segment of the organization to cover, segment of the value chain, which SR issues and possibly also which principles to adopt.

Every organization should decide for itself which boundaries it has for its impact on society, its responsibility and its program for addressing SR. The organization should be able to explain the rationale for their choice of system boundaries. This explanation could take the form of a SR system description and also include the materiality aspect.
Further, a prerequisite for the definition of system boundaries is a set of possible SR issues to include in addressing SR.

Planning with focus on connections to existing standards, initiatives, principles and any already existing management systems within the organization, organizational issues; Matrix for organization that already have implemented relevant ISO standards

In this phase the SR system description should be made. As described above, system boundaries should be defined, but also elements to use for the work and processes and/or activities within the core business operations that should be affected will be designated. A plan for implementation should be made.
Here we see the possibility of connecting to existing standards for the organizations that already have implemented an ISO management system standard.

Let's take the example of having a set of elements that is "allowed" for use in ISO 26000:
- Policy
- Organization of SR
- Resources
- Action plan
- Evaluation
- Reporting
- Stakeholder engagement in parallel

As an example let's take the following groups of issues: Environment, Ethics, Social issues.

If we make a matrix and combine the above elements with the groups of issues, it would be possible for the organization to design the new plan in order to put Social responsibility in place, where O are existing elements and X are elements that need to be implemented:
[6]

Group of issues	Policy	Organization of SR	Resources	Action plan	Evaluation	Reporting	Stakeholder engagement (parallel)
Environment	O	O	O	O	O	O	X
Ethics	X	X	X	X	X	X	X
Social	O	X	X	X	X	X	X

Please observe that the elements and groups of issues are only examples and by no means a final proposal. The objective with this example is to show how to work with ISO 26000 if the organization has existing management systems. Naturally also ISO 9001 could be used and would, with it's process approach, probably be very suitable indeed.
The table above might be complemented with a value chain approach if appropriate.

As seen above we support the idea that some commonly used elements of operationalizing (which admittedly could also be found in an MSS) should be allowed in this standard.

There are probably a set of elements that are necessary in order to be able to operationalize SR. This question should be explored in greater detail. For example define all potential elements and then explore which would be allowed and which not or which combination of elements that would be allowed.

[6] One of the sub-group members suggests that the left column should be named "group of issues examples" and that another line called etcetera should be put under the line social. The member also suggests that instead of ethics we should use economy to fulfill the meaning of sustainability. Another sub-group member suggests that we include the title laws in the table.

The element of stakeholder engagement is one where a parallel approach might be chosen. Different stakeholders should probably be communicated with or engaged at different points in time or in the project.

Planning regarding performance, continual improvement and communication of the results
… how to define indicators based on material issues and objectives as well as segments of the value chain that are material

Justification for the organization's specific SR concept
The organization should explain the SR concept and the decisions, limitations etc. taken.

Stockholm, June 21, 2005
Sofia Hagman on behalf of the Swedish mirror group ITG6
e-mail: sofia.hagman@kpa.se

Von: "Watkins, Miles" <Miles.Watkins@aggregate.com>
Am: Dienstag, 21. Juni 2005 22:51 Uhr
Greetings from a strangely sunny UK,

Although tempted to submit an alternative model, I feel strongly that we should be supportive of Dr Wieland's accurate summary of our discussions thus far and the resultant framework. I believe that we need to move on but not be afraid to revisit this agreed 'shape' if, over time, we lose confidence in its ability to address all of the issues concerning us.

Regards

MW

Dr Miles Watkins
Group Environmental Manager

Von: <michael.a@moital.gov.il>
Am: Mittwoch, 22. Juni 2005 20:25 Uhr

RE: Draft on Design Specification from the Swedish mirror group of ITG 6
I humbly think this document is a better starter, in light of its emphasis in verification and performance, without seeking to become a MSS.

Michael Atlan

Govt. Israel

Von: Peter Houghton <hconserve@btconnect.com>
Am: Freitag, 24. Juni 2005 21:59

Dear Sofia,Two brief comments on the Swedish proposal:

1. Most of the "new elements" mentioned in "3. Explanatory notes" should, I think, be considered as covered implicitly in other DS proposals, althoughthey may not have gone to the same level of detail in relation to them.Certainly, treatment of such elements is not precluded in any of theproposals seen.

2. The last sentence of 1.4 contains the statement "ask them to explaintheir choice". This is concerning: it gives the impression that a) the "setof optional elements" and b) the explanation of the choice made are beingseen effectively as 'requirements'.
Regards,

Peter Houghton

Von:<nagasawa@keidanren.or.jp>
Am: Freitag, 24. Juni 2005 10:22 Uhr

Dear ITG 5 & 6 Experts,

On behalf of Japanese experts,
Mr. Ricky Fukada and Mr. Masao Seki,

I am sending you their letter to you
and a Draft Design Specification,
"The Platform + Drawer Model"
proposed by Japanese Industry.

****

Emiko Nagasawa
Social Affairs Bureau
Japan Business Federation Nippon Keidanren

June 24, 2005

Dear ITG 5 & 6 Colleagues

We, the experts representing Japanese business community, have been following up on the discussions among the ITG 4, 5 and 6 experts, and have exchanged views with other business persons at the Nippon Keidanren (Japan Business Federation). The Japanese proposal presented at the first meeting of ISO/TMB/WG SR in Salvador was a multi-pillar one, which comprises 1) performance-oriented, 2) stakeholder communications/engagement, 3) practical examples.

After the Salvador meeting, we adopted a various kind of good ideas and insights from the ITG 4 - 6 experts, refining the concept of a practical and feasible Guidance which is to be useful for any organization regardless of its size, type of activities and location, with particular emphasis on the benefit to such stakeholders as small- and medium-sized enterprises and the developing countries. We would like to suggest the attached Design Specification, which serves to promote learning and to enhance the awareness of the SR.

The Design Specification consists of Part I: Universal & Generic Guidance and Part II: Case Studies & Practices. We name this "The Platform Drawer Model." The Part I is supposed to be what Mr. Adam Greene calls a module, or what Mr. Peter Houghton calls a platform, universal to all the organizations promoting their SR activities. The Part II acts as the "drawers" which keep the Case Studies and Practices useful to each and every organization category.

Based on the Japanese proposal submitted to the First Working Group Meeting in Brazil and the maturing discussions among the ITG 4-6 experts, we crafted out a proposed Design Specification. Our Design Specification includes the Guidance and Case Studies as Mr. William Blackburn suggested, and it aims at promoting SR activities which are befitting to each organization. We think this model will stimulate a diversity of organizations to tackle their SR activities as their own task, and consequently making a contribution to sustainable development.

The Japanese business community places much importance on the Stakeholder Communications/Engagement in the SR components. We think each organization and its stakeholders will be able to find the problems and solutions through the stakeholder communications/engagement. This is the so-called "win-win" process conducive to higher performance of SR activities in each organization. We, in cooperation with our ITG colleagues, would like to collect such examples which exemplify the diversity of each and every organization.

Ricky Fukada & Masao Seki, Japanese Industry Experts

Draft Design Specification for ISO26000: The Platform + Drawer Model

2005/06/24

Nippon Keidanren ISO/SR Mirror Group

Part : Universal & Generic Guidance

1. The Purpose and Scope

2. Terms and Definitions

3. General Principles

4. SR components

Guidance given here is universal and generic and shall be a platform for the implementation of SR activities in any type of organization in any country or region. Each issue may consist of principles and key references (international agreements including the Universal Declaration of Human Rights, the ILO Declaration of Fundamental Principles and Rights at Work, United Nations Framework Convention on Climate Change, UN Global Compact, and the OECD Guidelines for Multinational Enterprises).

4.1 Fundamental SR issues

(1) legal enforcement/compliance

(2) human rights

(3) employment

(4) quality of products and/or services

(5) safety/information security

(6) environment

(7) community involvement

4.2 Stakeholder Communications/Engagement

(1) definition of stakeholder communications, stakeholder engagement

(2) principles of stakeholder communications, stakeholder engagement

examples) honesty, mutuality, win-win solution, complementary

5. Annexes and Bibliography

Part : Drawers Containing Case Studies and Practices

A. Stakeholder Category-Specific Guidance

This section provides guidance on the relevant aspects of social responsibility for different types of organizations, including organizational roles and principles to operationalize.

A-1 Business and Industry Organizations

A-2 Government Organizations

A-3 Non-Governmental Organizations

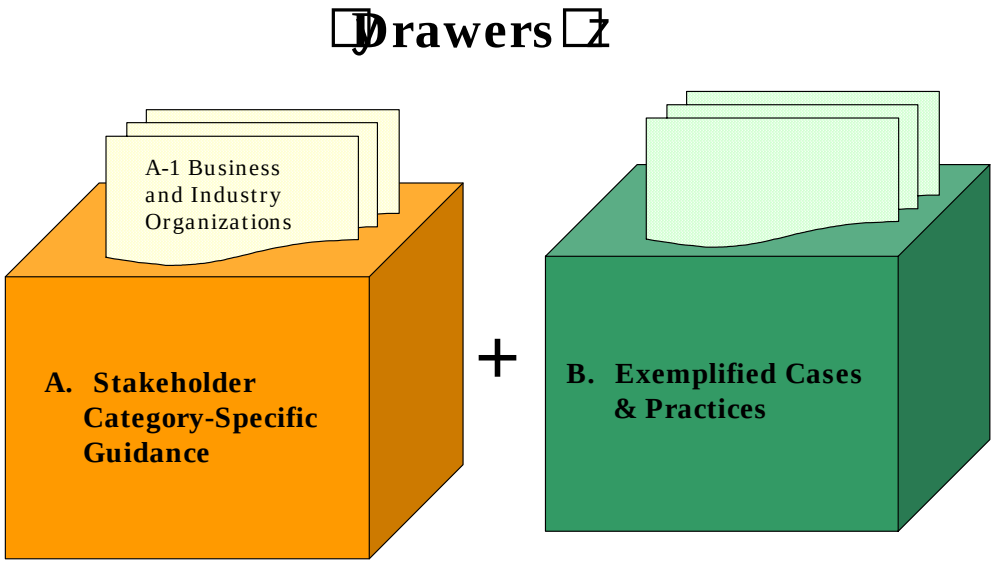
A-4 Consumer Organizations

A-5 Labor Organizations

A-6 Others

B. Exemplified Cases & Practices

The exemplified cases and practices are categorized in such a way to be drawn by SR components and types of organizations.



Am. Mon, 27 Jun 2005 16:52:11 +0800
Von: "Koh Juan Kiat@snef" <jkkoh@snef.org.sg

Dear All

In reviewing Prof Wieland and Mr Nagasawa;s well thot thru documents

My humble inputs are as follows:-\
1. I agree with A and B in Prof Wielands "we all agree" points
2. I support Mr Nagasawa's proposal as the way to have a general framework of principles and guidelines accompanied by cases of best practices for different types of organisations.

Cheers

Koh Juan Kiat

Singapore Business Federation

Am: Mon, 27 Jun 2005 15:42:46 +0100
Von: Peter Houghton <hconserve@btconnect.com>

Dear All,

As you will see from the attached Design Specification proposal sent to ITG6 members on 8th June and acknowledged as useful by Anabela Ribeiro on 17th June, the latest Japanese proposals are remarkably similar, although they go into rather less detail. The fuller detail had been presented earlier to help demonstrate the viability of the approach.

It is clear therefore that these proposals are mutually supportive and together form a promising basis for consideration by the WG. Indeed, it would be helpful if ITG5/6 members could line up behind this approach and carry it forward to the WG.

[With apologies to ITG6 for repeating the attachments.]

Best wishes,

Peter Houghton

ISO Guidance Standard on Social Responsibility:

Proposal for the Design Specification

5. An important factor in setting the Design Specification for the ISO Guidance Standard on Social Responsibility (DS SR) is that it should take into account that organizations have substantially differing needs and structures, depending on the stakeholder category into which they fall. Moreover, they may be subject already to category-differing standards, guides, codes of conduct, etc., and use different concepts and languages.

   These differences are over and above issues of size, sector, culture, regulation and legislation, whether individual, national or supra-national.

   It is suggested that provision of guidance in a manageable form would be greatly facilitated and simplified if the DS SR reflects this consideration in the structure it sets.

6. The solution proposed is that there should be essentially two Parts to the main body of the document:

   Part 1: dealing with those matters which are in common to all categories and

   Part 2: comprising six separate sections dealing specifically with each of the six Categories and procurable individually

   Both Parts could have Annexes, Case Studies, Bibliography, etc. as may be appropriate.

7. The advantages of this approach are numerous and include:

   - Individual sections in Part 2 can be expressed in the language of the specific category concerned, giving readier intelligibility acceptability and avoiding dubious compromises

   - Flexibility to allow independent amendment of the sections of Part 2

   - Reduction of the cost of procurement and use of potentially voluminous guidance by

   - Ability to procure only what is applicable and

- Minimization of the irrelevant information with which a user would be faced in extracting what is applicable

8. An outline structure is attached as Annex A.

05.06.05

ISO Guidance Standard on Social Responsibility

ISO 26000

Proposal for Design Specification

June, 2005

Preconditions for Development

Quote from TMB Resolution 35/2004

"…notes the preconditions stipulated by the AG for ISO activity in the field of SR, and that these constitute a package, and the TMB

- *acknowledges that social responsibility involves a number of subjects and issues that are qualitatively different from the subjects and issues that have traditionally been dealt with by ISO,*
- *recognizes the role of governments and inter-governmental organizations to set social obligations or expectations,*
- *recognizes the instruments adopted by global inter-governmental organizations (such as the United Nations Universal Declaration of Human Rights), international labour conventions and other instruments adopted by ILO and relevant UN conventions), but also that there is scope for private voluntary initiatives in the field of SR*
- *concurs that the scope of any ISO activity on social responsibility needs to be narrowed so as to avoid addressing issues that can only be resolved through political processes*
- *supports the development of an agreement with ILO to govern cooperation between ISO and ILO in the area of social responsibility*
- *recognizes that, due to the complexity and fast-evolving nature of the subject, it is not feasible to harmonize substantive social responsibility commitments*
- *agrees to ensure that ISO processes are adjusted where necessary to ensure meaningful participation by the full range of interested parties,*
- *recognizes that the conference confirmed the AG's recommendation that there is a need for a guidance document, written in plain language which is understandable and usable by non-specialists, and not for a specification document intended for conformity assessment,*
- *further recognizes that the conference indicated that this work should be undertaken immediately and that further feasibility study is not needed,*
- *agrees that such a guidance document should include the elements identified by the AG and others identified in the conference,*
- *concurs that special efforts should be made by ISO and its members to raise awareness in developing countries of ISO's SR activities as well as to ensure their meaningful participation in this work,…"*

The following requirements are deducible from the TMB Resolution quoted

- Ease of reading and understanding
- Ease of implementation and use
- Guidance to be applicable and beneficial to all stakeholders, whether primarily industrial/commercial, government, non-government, labour, consumer or other organizations
- Complementarity to existing guides (e.g., those of the OECD, the ILO, the UN and others) by not duplicating their recommendations but referencing them
- Non-overlap with regulations or other governmental requirements

- Not being a Management System Standard (like 9001 or 14001), thereby avoiding a Justification Study in accordance with ISO Guide 72
- Respect for differences in national cultures, understandings and the constraints they impose on organizational behaviour
- Clarity of relationship with national SR Standards of ISO Member Bodies
- Clarity of relationship with national SR-related governmental regulations
- Ensuring lack of suitability for third-party certification or use as a contractual requirement.

STRUCTURE

following ISO/IEC Directives – Part 2

ISO 26000 - Part 1: Generic guidance

Contents

Foreword

Introduction

An explanation shall be given of the structure of the standard and its division into two Parts and of the function of those Parts and their associated Sections, Annexes, Bibliographies, etc.

8. Scope

The Purpose and Scope of this ISO Guidance Standard on SR is to

- Provide practical guidance to organizations that wish to implement or improve measures on Social Responsibility
- Support key, pre-existing SR-related instruments, whether in regard to substance or implementation
- Be useable by all organizations, regardless of type, size, purpose or location
- Identify a meaningful yet achievable communication methodology applicable to organizations of all types and sizes

This ISO Guidance Standard shall **not** be

- usable for certification or adaptable for contractual purposes
- competitive with or duplicative of SR-related standards from any other organization
- a Management System Standard like ISO 9001 or ISO 14001

9. Normative references

ISO/IEC documents (if any) indispensable to the application of this document.

10. Terms and definitions

- Acknowledgement/repetition of pre-existing SR definitions, as provided by the UN Global Compact, OECD and ILO, without change thereto

- Provision of such other definitions as are essential to this document

- Clear explanations of any important differences relative to other existing definitions, including:
  (a) definitions in national standards and
  (b) definitions in government regulations

11. General Principles

Principles shall be stated which

- promote SR in all organizations, providing effective guidance as a means of self-improvement and creating new added value

- identify and exemplify the core subjects and issues necessary for raising the effectiveness of SR activities, while respecting differences in national, regional and local cultures and other contexts

- respect the autonomy of an organization, its constraints, objectives and achievements, its economic conditions, vision and culture and its ability flexibly to develop and implement its SR-related activities in the most appropriate way

- are compatible and consistent with, and complementary to, existing SR initiatives, guides and standards, thus avoiding confusion at implementation level

- place importance on communication with stakeholders as the organization develops its SR activities (identification of stakeholders, understanding of their expectations, communication of SR results).

12. Generic guidance

Guidance given here may be wide-ranging and deal with any issue, important to SR, provided it is global and generic: it shall provide a platform upon which the stakeholder category-specific guidance of Part 2 can be built. It shall be simply cross-referenced *from* Part 2 but shall not itself reference or duplicate any specific content of Part 2.

Sub-sections of the generic guidance may include

- Fundamental SR aspects and issues
- Stakeholder identification and consultation
- Best practice bench-marking
- Sharing good practice
- Communication of targets and achievements - key types of data; successes; dealing with shortfall and their negative impacts; examples of effective and affordable reports applicable for various sizes and levels of organization
- Use of the ISO website to exchange information and promote SR
- Continual improvement and continuing developments

[This Section may be specified in greater detail following the product of ITG 5.]

13. Annexes

Provided that they have generic and global relevance, informative Annexes may be included as appropriate in support of the foregoing and may provide, for example

- Useful cross-references to other recognized standards, codes of practice, etc.
- Information on organizations providing services in the general field of SR
- Illustrative case studies, etc.

14. Bibliography

A reasonably comprehensive and structured Bibliography shall be provided of documents which are freely available and are of relevance to SR generically and globally. Sufficient information shall be given to permit ready identification and procurement of each document listed.

Category-specific documents shall not be given but shall be placed in the relevant Bibliographies to the Sections of Part 2.

ISO 26000 - Part 2: Specific guidance – Section N: XXXXXXXXX

Part 2 shall be divided into six Sections as follows

Section 1: Government

Section 2: Non-government organizations (NGOs)

Section 3: Commercial organizations (including industry)

Section 4: Consumer organizations

Section 5: Labour organizations

Section 6: Other organizations

Contents

Foreword

Introduction

An explanation shall be given of the structure and Sections of Part 2 of the standard and their relationship to Part 1.

1. Scope

A statement shall be given specific to the subject category and consistent in general terms with Part 1, Scope and the statements in other Scope statements in the other Sections of Part 2. The Scopes of the Part Sections shall be mutually exclusive of one another.

2. Normative references

ISO/IEC documents (if any) indispensable to the application of this document and not listed in Part 1, Section 2.

3. Terms and definitions

Provision of such further definitions as pertain to the subject category of organization and are essential to this document. Definitions shall not duplicate or vary definitions given or referenced in Part 1.

Clear explanations of any important differences relative to other existing, category-specific definitions, including:

(a) definitions in national standards and

(b) definitions in government regulations

5. Specific guidance – Government

This Section shall include

- A general review of government's primary responsibilities in respect of SR (e.g. protection of life, property and the environment)
- Types of "infrastructure" utilized by successful governments to fulfill their responsibilities in respect to SR
- Reasonable and practical guidance on where governmental SR responsibility gives way to that of other organizations and how they may work together effectively.

5. Specific guidance – NGOs

This Section shall provide

- SR guidance for NGOs in the pursuit of their specific agendas, including how to create constructive stakeholder dialogue
- Guidance on SR implementation measures on international, regional, national and local levels
- Guidance on co-ordination and collaboration with other NGOs to avoid competition and overlap of activities
- Focus and priority for effective change.

4. Specific guidance – Commercial organizations (including industry)

This Section shall provide category-specific SR guidance which has particular regard to the variety and diversity of such organizations, e.g. the

- type of business (e.g. timber, ship building, automotive, banking, insurance, retailing, etc.)
- number, variety & complexity of products and services offered
- size of the organization (small, medium or large)
- type of legal entity concerned (government operated, privately owned, public)
- geographical location and dispersion of operations
- cultural variations existent within them

This Section shall also provide guidance to Associations of commercial organizations on how to

- promote SR throughout their membership
- organize cross-industry co-operation to increase individual Association effectiveness
- serve as the key contact-point for a business-government dialogue
- serve as a focus for dialogue with government and NGOs so that these need not address Association members individually.

5. Specific guidance – Consumer organizations

[TBD]

5. Specific guidance – Labour organizations

This Section shall provide guidance on how

- implementation of the ILO Conventions can promote SR
- local labour organizations can co-operate with their local government to achieve local labour regulation, ideally by transposition of the ILO Conventions into national law
- international and regional labour organizations should assist local governments, particularly in less developed countries, to implement appropriate regulation in regard to protection at the work place

7. Specific guidance – Other organizations

[TBD]

8. Annexes

Informative Annexes to each Section may be included as appropriate in further support of the particular category of organization, for example

- Useful cross-references to other recognized category-specific standards, codes of practice, etc.
- Information on organizations providing SR services to the specific category of organization
- Further illustrative, category-specific case studies, etc.

9. Bibliography

Further structured bibliographic references may be provided for each Section to documents which are category-specific, freely available and of relevance to SR. Sufficient information shall be given to permit ready identification and procurement of each document listed. Generic documents listed in Part 1 shall not be duplicated in Part 2.

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michael.a@moital.gov.il
Dienstag, 28. Juni 2005 16:47 Uhr

Dear all,

There is a great ambiguity in the following sentence in the "Assumptions" which states: *"The guideline will be performance based, which means that an organization can NOT claim that is Social Responsible until it addresses all the issues identified by SR core context (ITG 5)" (my emphasis on "addresses")*. This sounds like an attempt to indicate the conditions for what I would call self-certification (in contrast with 3rd party certification). I like that, but for this to work, it is important to define what "addresses" means in this context.

Since it is not by way of implementing an MSS, what is it that an organization has to do (i.e. how does it have to address SR core context) that is enough for it to be able to claim it is social responsible?

Obviously it is not enough that it has read the guidance. It is not enough that it has thought about the issues described in it. What is it then?

Could we agree on "**engagement and communication"** as defined by the other TGs, for **at least X months** prior to the moment the organization can claim to be social responsible…?

Thank you for your consideration.

Michael Atlan, Adv.
Govt. Israel

"William R. Blackburn" WRB@wblackburnconsulting.com
Dienstag, 28. Juni 2005 16:26 Uhr
I would take issue with two of your assumptions:

1. The guideline will be performance based, which means that an organization can NOT claim that is Social Responsible until it addresses all the issues identified by SR core context (ITG 5)
2. The guideline to be produced is not an integration tool for other standards like: quality, safety & health and environmental systems.

Regarding no 1, guidance is guidance. This means an organization can use all or any part of it. Since this is not intended as a certification standard, this means it is not intended as some sort of document against which full conformance should be assessed or claimed.

Regarding no 2, one of the key values we can provide organizations--and one they are struggling with--is to show them different ways they can draw on existing documents, standards and tools to take an effective integrated approach to SR. Fortunately, this is one thing that doesn't seem to have

been carved out of our mandate. If we ignore that, we miss the chance to
provide real assistance to those trying to make sense of this area.

The proposal put forward by Masao Seki of Japan seems to plot a reasonable
course for us that does not run afoul of any of the above concerns. We
should toss our support behind that and move forward. We still have a lot
of work to do.

Bill

William R. Blackburn

Peter Houghton hconserve@btconnect.com
Mittwoch, 29. Juni 2005 2:07 Uhr

Dear Prof. Dr. Wieland,

Please see attached interpolated comments on the cover letter and ITG6_Draft
Proposal_2v (the latter with change-tracking and amendment proposals).

The distillation given in the Draft proposal of the efforts of ITG6 experts
over 2 months is frankly disappointing. Perhaps this is due to the -indulgent and nugatory debate on whether we were proposing a MSS.

Dear Prof. Wieland,

Please see attached interpolated comments on the cover letter and ITG6_Draft
Proposal_2v (the latter with change-tracking and amendment proposals plus
editorial corrections).

Overall, the distillation of the efforts of ITG6 experts over 2 months (some
80+ email exchanges) given in the Draft Proposal makes rather disappointing
reading and does not carry us forward very far. My impression, based on the
very brief opportunity we have to comment and which could therefore be
wrong, is that some elements of the Draft Proposal are not traceable to

contributions of ITG6 members but perhaps represent the prior thinking of
the drafters.

Regards,

Peter Houghton
UK Industry Expert

Peter Houghton hconserve@btconnect.com
Mittwoch, 29. Juni 2005 2:33 Uhr

Dear Colleagues from ITG 6,

As you know ITG 6 was assigned with an important but difficult task: to explore what it would look like for the standard to address to provide guidance appropriate for all organizations to understand and apply the SR core context, and guidance appropriate for specific kinds of organizations …

After a 1st round of a discussion, an analysis was made in order to summarize the comments made, and a proposed structure was presented. A lot happened since then and we have received some draft proposals for a design specification, which we thank you for. Nevertheless, our first task is not to present a draft proposal for a design specification, that has to be done gathering ITG 4 to 6. [This late expression of opinion is not supported by the Task Definition, which contains nothing whatever debarring ITG6 from making a Design Specification *proposal*. A Design Specification is inescapably linked to 'how' and is the vehicle by which that is most easily expressed. Naturally, any output from ITG6 will need to be discussed with other ITGs *as the next step*. The Design Specification proposals that have been made should therefore properly be INCLUDED in or ANNEXED to ITG6's output.]

The document you have attached is our second draft of this work. We tried to summarize other contributions and elaborate a little upon them. As you are all aware, our time is due on Thursday, and for that purpose, we would like to kindly ask you to comment the document on a suggestion basis. What we mean is, if you strongly disagree, please give an alternative item, and we will work on that. All suggestions and comments are very welcome.

We hope hearing from you soon,

Anabela Vaz Ribeiro
INTERIM TASK GROUP 6: OPERATIONALIZATION ("HOW") ASPECTS

Task Definition: to explore what it would look like for the standard to address (e.g. [N.B.: NOT 'i.e.'], what wording might be used) to provide guidance appropriate for all organizations to understand and apply the SR core context, and guidance appropriate for specific kinds of organizations and [N.B.] how these issues might be reflected in a design specification and how these issues might be worked on thereafter.

1. Introduction:

1.1. ITG 6 understanding of its task definition:

What is not the purpose of ITG 6?

a) We are not going to develop a Management System Standard.

b) We are not going to develop a standard for certification purposes.

c) We are not going to develop a standard, which replaces existing inter-governmental agreements with relevance.

d) We are not going to develop an integration tool for other management systems[7].

e) We are not supposed to present a Design Specification proposal [STRONGLY DISAGREE: This opinion is inconsistent with the Task Definition (which most certainly does not debar it) and with section 2, which in effect proceeds to discuss elements of it in a rather unstructured way. A proposal for a Design Specification is the most efficient and disciplined way to convey the product of our contributions. Naturally, such a proposal would need to be discussed with the other ITGs as a next step. DELETE e).]

What is the purpose of ITG 6?

a) Develop some guidance on how to operationalize SR within the organization, taking into account existing global principles, guidelines, knowledge etc, which means:

Provide practical guidance for implementation/integration of SR concepts [DISAGREE: This is surely the task of a permanent TG working to the Design Specification towards which ITG5 should be contributing. ITG5 should be concerned with the prior, higher level task of recommending a structure for ISO 26000 that would permit the requisite guidance to be presented in a palatable and effective manner.]

Focus on specific issues related to methodology/plan/implementation on the way organizations manage SR. [This sounds like trying to tell organizations how to manage SR, which is not the role of ISO 26000. DELETE text in blue.]

[What happened to b)?]

1.2. Assumptions

1. Implementation of SR deals with changes in internal governance of organizations. [For some it may.]
2. The guideline will be performance based, which means that an organization can NOT claim that is Socially Responsible until it addresses all the issues identified by SR core context (ITG 5) [STRONGLY DISAGREE: ISO 26000, as a guidance standard, cannot be concerned with claims of conformity since it cannot express SR requirements. DELETE text in blue.]
3. The guideline to be produced is not an integration tool for other standards like: quality, safety & health and environmental systems.
4. We should not ignore the organizations that have already developed some work in the SR field, following some kind of framework - private or national initiatives. [DISAGREE: It is for organizations themselves to determine where they currently stand and to decide what they need to do. ISO 26000 cannot possibly take account of such a question.]

[7] Some ITG 6 experts believe that it's very important to assist organizations that have already implemented management systems (ISO 9000, 14000, or other), to use ISO 26000.

5. Keep in mind Annex D, of the NWIP: "… an ISO SR deliverable should be compatible with and/or complementary to these other initiatives …."
6. The whole purpose of this document is to add value.
7. The guidance should be very practical.
8. This document [This draft proposal or ISO 26000?] was created having in mind [Replace text in blue by 'ISO 26000 should serve all kinds of organization, including specific types of organization, like governments, private enterprises, NGO's, trade unions, etc. It is supposed to be used widely [delete superfluous word] by organizations of every type and size, both in developed and developing countries.
9. Due to what has been presented on point 8, and to the wide scope of SR, there must be some level of abstraction in developing this work.

2. Structure/Framework on How to Manage SR

In order to provide generic guidance appropriate for all organizations ITG 6 experts proposed a number of specific structures [which should be presented in Annex!], based on the common grounds presented below.

A) **Principles**, which define and/or describe the spirit, the attitude, the orientation that every type of organization needs in order to make SR management a living process [STRONGLY DISAGREE: This sentence does not cohere with the next. The principles that should be stated are those which are fundamental to SR itself as a subject: if these are not set out it is meaningless to address the spirit, attitude and orientation of organizations who may be trying to manage it.], making sure we are not setting any kind of social obligations or expectations as stated in the NWIP. Such principles are for example: sustainability, integrity, leadership, process orientation, stakeholder orientation, among others. (This is being explored by ITG 5, as it belongs to its task definition - …explore Social responsibility core context with issues, definitions, principles,…).

Each organization has its own principles, whether it's SR oriented or not, nevertheless we believe there are specific principles [What are they?] that should be stated or presented in order to describe the orientation that leads to a successful operationalization. The purpose is not to create boundaries of any kind.

B) These principles must be realized in the every day business. For these purpose any type of organization needs **Basic Elements**. Examples for these basic elements are: Code of Conduct, Communication, Training, Incentives [Maybe.], among others. Every organization needs these Basic Elements in order to implement SR successfully and make the "paper principles" living documents.

Basic Elements is focused on issues associated with providing guidance appropriate for all organizations to understand and apply the SR core context.

[B) is very weak and unconvincing.]

C) Specific Elements

Specific elements is based on issues associated with providing guidance for specific kinds of organizations to understand and apply the SR core context.

This issue has been widely discussed within ITG 6, and the common opinion is that developing guidance for all kinds of organizations in a single document leads us to some level of abstraction. This level of abstraction comes not only because organizations are quite different, but also because of their size, culture in which they are integrated, regulatory legislation, among others.

From the suggestions received by ITG 6 experts, there are two which we consider to be the most applicable to SR field, because both of them are consistent with the level of abstraction we all agreed that has to exist.

C1) Major impact SR activities

2.1.1. Social
2.1.2. Economic
2.1.3. Environmental

Each organization should identify, for each category, the activities that currently have the most impact on SR performance.

C2) Specific Guidance for Stakeholder category

2.2.1. Government
2.2.2. Non-government Organizations (NGO's)
2.2.3. Industry
2.2.4. Labour Organizations
2.2.5. Consumer Organizations
2.2.6. Other Organizations

This structure reflects the main interests that might benefit from or be affected by this activity. The specific guidance should be built on performance indicators where appropriate.

D) Case Studies

To give very practical guidance on how to realize the principles and basic elements **Case Studies** should be added. These case studies should reflect the diversity of instruments, approaches etc. in organizations and fields of activities[8].

3. Specific issues related to the methodology of Managing SR

These specific issues were drawn with the objective of "… assist organizations in establishing, implementing, maintaining and improving social responsibility frameworks…" as stated in Annex B of the NWIP. They were not meant to be exhaustive and are not present in any specific order.

Criteria for identifying the organizations current SR status

How to get started? (auto analysis)
Has the organization developed some work in the SR field, or not?
What kind of activities does has the organization already developed?

Organization's mission statement

[8] Some ITG 6 experts disagree with the presentation of case studies, because the broad scope of SR makes very difficult a comprehensive and representative selection.

Each organization, independently on size or activity should describe it's mission statement. Why meet the challenge? The organization must understand why, in order to take part.

Internal Governance
Objectives and results the organization aims to achieve.
How does the organization decide, on activities that have a direct impact on social, environmental and economic fields?

Commitment
Commitment should be **visible**, so that it can be more than a declaration of principles.
The visibility could be achieved in different ways: Vision and mission statement, code of conduct, others.

Stakeholder engagement (ITG 4 Task definition)

Resource allocation
The organization should identify and document the resources, especially the human resources needed to meet the objectives and results identified.
The person(s) involved in the implementation should make sure that all relevant parts of the organization affecting SR are engaged in the process. Top management must be involved and it should also give its stakeholders incentives to make SR a part of the daily operation.

Communication
This issue is being developed by another TG.

Planning
Regarding maintaining and improving objectives. Plan on how to achieve performance indicators for specific kinds of organizations.

Others

4. How these organizational issues might be worked on within the WG (e.g., organization of Task Groups and sub-groups)

Sub group for
TG on Performance Indicators for point C.

5. Summary of Key Recommendations and Outstanding Issue

At this point we are not able to develop this summary, only after the circulation of the document and receiving the comments.

6. Key Methodological References

NWIP
SAG report

7. Annex: Convenors and Secretariats

8. Annex: ITG Members (sign-ups from WG)

9. Annex: Dialogue Record (summary of process and content, including reference to document containing record of all email traffic on content)

10. Annex: Key References

Joanne Petrini <jpetrini@ecologi-co.com>
Mittwoch, 29. Juni 2005 15:01 Uhr

There have been many good suggestions about the potential structure of the guidance standards. All of them have elements that have merit and I sincerely hope that the ITG chairs will be able to effectively weave together the suggestions that have been made
Although I agree with that there will be a need to tailor some of the guidance depending on the type of organization (government, business, NGO) I do not necessarily agree that we should begin with a structure that differentiates organizations.
I believe that we will find as we begin the actual work of drafting that we will find more commonality than differences. That is unless we set out to build in those differences as a factor of the design of the document.
Our work will be driven by reaching agreement on the basic principles. These will drive the content for the remainder of the standard and should apply equally without exception to all types of organizations although they may be operationalzed differently. These principles will for the most part be distilled from existing intergovernmental agreements and other international standards and norms.
And while I agree with the many voices that have cautioned that it is not our role to duplicate existing standards nor to exceed our mandate, nor to forget ISO's jurisdictional limits. It is our role and our mandate to compile, to distill and to provide meaningful guidance to enable all organizations to achieve effective application of existing standards.

Joanne Giovanna Petrini

Ecologico Consultants

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shizuo_fukada@omron.co.jp
Mittwoch, 29. Juni 2005 17:44 Uhr
Dear Josef:

Hope I am still in time for my inputs being accepted.

I make brief comments about ITG6 2nd Draft Proposal:

1) ITG6 had such a difficult mission to make a proposal based on a hypothetical Design Specification, and everybody had a different image what it is like. Yet, we had vigorous discussions. We should reflect our discussions and our efforts for a "Design Specificaiton" making, including any voluntary proposal of a draft Design Specification out of ITG6. ITG6 was set up simply for the purpose of collaborating with ITG5 and reach out a Design Specificaiton of SR Guidance stabdard, as its final goal.

2) Commenting on 2nd version attached as a whole , I fully support Mr Peter Houghton's comments and thinking as the base of ITG6 draft proposal.

Ricky Fukada

Japan Industry expert/Keidanren/Omron

Lugt Cornis Cornis.Lugt@unep.fr
Donnerstag, 30. Juni 2005 16:40 Uhr
Dear friends,

We seem to have spent much time discussing principles / issues / generic guidance on the one hand and case studies (practice examples) on the other - Part I and Part II in the proposal from Japan, without going into much detail on the "how" / Guidance on Approaches to Implementation (part of "Module 7" as Adam called it). Good to see in the attached / latest draft that we now start to go into more of the substance of the how. And simply listing different types of organisations is easy... what we should remember is that SR raises same basic challenges applicable to any organisation (any "wealth creating organisation" as the SAG report put it).

The distinction between "basic" and "specific" elements" seems a good one. But maybe we would be more clear if we group them in terms of "enablers" (such as empowerment, eg via training) and "results" (where we have impact on environment, society and in the value chain... or you could say env, sos and econ impact). This is what we did eg in the Global Compact Performance Model. Impacts are likely to be covered by the issues listed by group ITG 5, so the more challenging area for us would be the "enablers"... which will include verious elements, for example basic elements such as "processes and innovation" for which one could again suggest relevant "tools" such as ISO14001 in this instance.

Best,
Cornis van der Lugt
UN Global Compact / UNEP

Annette Kleinfeld annette.kleinfeld@kleinfeld-cec.com
Sonntag, 3. Juli 2005 22:12 Uhr

Dear Anabela,

I'd like to thank you for your efforts that led to this latest version of an ITG 6 Draft Proposal which I consider to be very helpful, especially the distinction between specific elements and basic elements needed by every kind of organisation. A structure based on these common elements (instead of differentiating into organizations from the beginning) makes more sense to me.

Referring to the contribution of Cornis van der Lugt, I'd like to support his idea of dividing the elements into "enablers" and "results" which is also part of the Business-Excellence-Model of the "European Foundation of Quality Management" (EFQM) and probably compatible with many other existing management systems of organisations, profit or non-profit, supporting internal self assessment and -evaluation processes).

However, since time has run out to discuss this option in depth with everybody else, I would suggest to leave it open for this draft proposal now but make clear in point 5. that there will be at least a sub-group working on the contents also of Point B. (not only of C.).

Kind regards

Dr. Annette Kleinfeld

Peter Houghton hconserve@btconnect.com
Sonntag, 3. Juli 2005 23:40 Uhr

Dear Josef and ITG6 colleagues,

Attached is a copy of Draft Proposal Version 3 marked up with some suggested amendments and, where necessary and in square brackets, explanatory comments.

Change tracking has been employed to facilitate the spotting of these suggestions and their adoption where chosen.

With best wishes,

Peter Houghton

Interim Task Group 6: Operationalization (“How”) Aspects

Task Definition: to explore what it would look like for the standard to address (e.g., what wording might be used) to provide guidance appropriate for all organizations to understand and apply the SR core context, and guidance appropriate for specific kinds of organizations and how these issues might be reflected in a design specification and how these issues might be worked on thereafter.

1. Introduction:

1.1. ITG 6 understanding of its task definition:

What is not the purpose of ITG 6?

a) We are not going to develop a Management System Standard.

b) We are not going to develop a standard for certification purposes.

c) We are not going to develop a standard, which replaces existing inter-governmental agreements with relevance.

d) We are not going to develop an integration tool for management systems[9]. [Deletion because "other" implies that ISO 26000 itself will be a MSS.]

What is the purpose of ITG 6?

a) Develop some guidance on how to operationalize SR within the organization, taking into account existing global principles, guidelines, knowledge etc, which means:

Provide practical guidance for implementation/integration of SR concepts

Focus on specific issues related to methodology/plan/implementation on the way organizations manage SR.

1.2. Assumptions

10. Implementation of SR deals with changes in internal governance of organizations.
11. The guideline will be performance based.
12. [Duplicative of 1.1d.]
13. We should not ignore the organizations that have already developed some work in the SR field, following some kind of framework - private or national initiatives.
14. Keep in mind Annex D, of the NWIP: "… an ISO SR deliverable should be compatible with and/or complementary to these other initiatives …."
15. The whole purpose of this document is to add value.
16. The guidance should be very practical.
17. This standard should have [statement is historical rather than an assumption] in mind all kinds of organizations, including specific types of organizations, like governments, private enterprises, NGO's, trade unions, etc. It is supposed to be used widely by organizations of every size, both in developed and developing countries.
18. Due to what has been presented on point 8, and to the wide scope of SR, there must be some level of abstraction in developing this work.

3. Structure/Framework on How to Manage SR

In order to provide generic guidance appropriate for all organizations ITG 6 experts proposed a number of specific structures, based on the common grounds presented below.

A) **Principles**, which define and/or describe the spirit, the attitude, the orientation that every type of organization needs in order to make SR management a living process, making sure we are not setting any kind of social obligations or expectations as stated in the NWIP. Such specific principles are for example: sustainability, integrity, leadership, process orientation, stakeholder orientation, among others.

[9] Some ITG 6 experts believe that it's very important to assist organizations that have already implemented management systems (ISO 9000, 14000, or other), to use ISO 26000.

(This is being explored by ITG 5, as it belongs to its task definition - …explore Social responsibility core context with issues, definitions, principles,…).

Each organization has its own principles, whether its SR oriented or not, nevertheless we believe there are specific principles, that should be stated or presented in order to describe the orientation that leads to a successful operationalization. The purpose is not to create boundaries of any kind.

B) Basic Elements For theprinciples tobe realized in every day business, each type of organization needs Basic Elements. Examples ofthese are: Code of Conduct, Stakeholder engagement, Stakeholder Communication, Training, Incentives, among others. Every organization needs these Basic Elements in order to implement SR successfully and make the "paper principles" living documents.

Basic Elements should be process-based and focus on issues associated with providing guidance appropriate for all organizations to understand and apply the SR core context.

Basic Elements should be organized by each specific SR subjects or aspects identified in the document proposed by ITG 5.

We do not refer to stakeholders anywhere. Where do you think they should be? [ITG4 inputs would probably fall into the generic first part, as at present mentioned in B) para 1 above.]

C) Specific Elements should be based on issues associated with providing guidance for specific kinds of organizations to understand and apply the SR core context.

This aspect[Change to avoid confusion with'issue' inprevious sentence.] has been widely discussed within ITG 6, and the common opinion is that developing guidance for all kinds of organizations in a single document leads us to some level of abstraction. This level of abstraction comes not only because organizations are quite different, but also because of their size, culture in which they are integrated, regulatory legislation, among others.

From the suggestions received by ITG 6 experts, there are two which we consider to be the most applicable to SR field, because both of them are consistent with the level of abstraction we all agreed that has to exist.

C1) Major impact SR activities

2.1.1. Social
2.1.2. Economic
2.1.3. Environmental

Each organization should identify, for each category, the activities that currently have the most impact on SR performance.

C2) Specific Guidance for Stakeholder category

2.2.1. Government
2.2.2. Non-government Organizations (NGO's)
2.2.3. Industry
2.2.4. Labour Organizations
2.2.5. Consumer Organizations
2.2.6. Other Organizations

These categories, recognized by the TMB and operative in the WGSR itself, reflect the main interests that might benefit from or be affected by this activity.
The specific guidance should be built on *performance indicators*, were appropriate.

D) Case Studies

To give very practical guidance on how to realize the principles and basic elements **Case Studies** should perhaps[To reflect footnote 2.] be included. These case studies should reflect the diversity of instruments, approaches, etc. in organizations and fields of activities[10].

3. Specific issues related to the methodology of Managing SR

These specific issues were drawn with the objective of "… assist organizations in establishing, implementing, maintaining and improving social responsibility frameworks…" as stated in Annex B of the NWIP. They were not meant to be exhaustive and are not presented in any specific order.

Criteria for identifying the organization's current SR status

How to get started? (auto analysis)
Has the organization developed some work in the SR field, or not?
What kind of activities has the organization already developed?

Organization's mission statement
Each organization, independently on size or activity should describe it's mission statement. Why meet the challenge? The organization must understand why, in order to take part.

Internal Governance
Objectives and results the organization aims to achieve.
How does the organization decide, on activities that have a direct impact on social, environmental and economic fields?

Commitment
Commitment should be **visible**, so that it can be more than a mere recital [?]of principles.
The visibility could be achieved in different ways: Vision and mission statement, code of conduct, others.

Stakeholder engagement (ITG 4 Task definition)

Resource allocation
The organization should identify and document the resources, especially the human resources needed to meet the objectives and results identified.
The person (s) involved in the implementation should make sure that all relevant parts of the organization affecting SR are engaged in the process.

Communication
This issue is being developed by another TG.

Planning
Regarding maintaining and improving objectives, the organization should identify and plan how to achieve appropriate performance indicators for its specific kind of organization.

Others

4. Recommendations

ITG leadership recommends that all TG experts consider the following draft proposals sent in annex [This statement is not consistent with the covering letter!], where you can find different approaches for a Design Specification. These draft proposals were considered in the work presented above.

1. Draft design specification for guidance on social responsibility: the modular approach, by Adam Green
2. ISO Guidance Standard on Social Responsibility, ISO 26000, Proposal for Design Specification, by Peter Houghton

[10] Some ITG 6 experts disagree with the presentation of case studies, because the broad scope of SR makes very difficult a comprehensive and representative selection.

3. Draft Design Specification for ISO26000: The Platform + Drawer Model, Nippon Keidanren ISO/SR Mirror Group
4. SR Standard Design Specification, perspective of the Swedish mirror group

5. How these organizational issues might be worked on within the WG (e.g., organization of Task Groups and sub-groups)

Sub group or,
TG on Performance Indicators for point C.
TG on selection and analysis of case studies for point D.

6. Annex: Convenors and Secretariats

7. Annex: ITG Members (sign-ups from WG)

8. Annex: Dialogue Record (summary of process and content, including reference to document containing record of all email traffic on content)

9. Annex: Key References

ISO/TMB/WG/SR SOCIAL RESPONSIBILITY

DRAFT DESIGN SPECIFICATION FOR GUIDANCE ON SOCIAL RESPONSIBILITY: THE MODULAR APPROACH

0. Introduction

1. Purpose and Description of the SR Guidance Standard:
a. Description of the type of guidance standard
b. What it is (guidance).
c. What it is not (standardization of SR).

2. Context, Preconditions and Parameters:
a. AG Recommendations
b. TMB Resolution

TG4 Purpose, Definitions and Principles

3. Scope:
a. As stated in the NWIP: all organizations, etc…

4. Definitions Related to SR:
a. Social Responsibility
b. Sustainable Development
c. SR Relation to Legal Compliance
d. Etc…

5. Principles for the Guidance Standard: (e.g.)
a. Respect for cultural diversity, etc.
b. Not replicate international codes, principles
c. Relationship with national laws
d. Etc…

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6. SR Issue of Concern: Issue Modules
Each module to discuss key references (international agreements), principles, implementation elements, partnerships, etc.

TG5 Issues of Concern

a. Industrial Relations
b. Human Rights
c. Community Engagement
d. Environmental Protection
e. Non-discrimination
f. Supply Chain Management
g. Child Labor
h. Education
i. Anti-Corruption
j. Consumer Safety
k. Occupational/Industrial Health and Safety
l. HIV/Aids
m. Governance
n. Etc.

TG6 Organizational Roles and Best Practices

7. Guidance on Organizational Roles and Best Practices:

In each module, provide guidance on the relevant aspects of social responsibility for different types of organizations (in the context of geographic, culture and size differences), including relation to other organizations and stakeholders and various approaches to implementation.

a. Business and Industry Organizations
    i. Including informal enterprises and SMEs
b. Government Organizations
c. Non-Governmental Organizations
d. Labor Organizations
e. Consumer Organizations
f. Other

TG7 Communication and Stakeholder Engagement

8. Communication and Stakeholder Engagement:

In this module, provide guidance on communication, dialogue and stakeholder engagement for a variety of organizations in different settings.

a. Identifying key stakeholders: owners/funders, employees, etc.
b. Communicating mission and objectives
c. Variety of methods for soliciting input
d. Communication: Dialogue, Meetings, Reporting
e. Etc.

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9. Information for Follow-Up:

a. ISO support for website, dissemination, outreach, etc.

ISO Guidance Standard on Social Responsibility:

Proposal for the Design Specification

1. An important factor in setting the Design Specification for the ISO Guidance Standard on Social Responsibility (DS SR) is that it should take into account that organizations have substantially differing needs and structures, depending on the stakeholder category into which they fall. Moreover, they may be subject already to category-differing standards, guides, codes of conduct, etc., and use different concepts and languages.

   These differences are over and above issues of size, sector, culture, regulation and legislation, whether individual, national or supra-national.

   It is suggested that provision of guidance in a manageable form would be greatly facilitated and simplified if the DS SR reflects this consideration in the structure it sets.

2. The solution proposed is that there should be essentially two Parts to the main body of the document:

   Part 1: dealing with those matters which are in common to all categories and

   Part 2: comprising six separate sections dealing specifically with each of the six Categories and procurable individually

   Both Parts could have Annexes, Case Studies, Bibliography, etc. as may be appropriate.

3. The advantages of this approach are numerous and include:

   - Individual sections in Part 2 can be expressed in the language of the specific category concerned, giving readier intelligibility acceptability and avoiding dubious compromises

   - Flexibility to allow independent amendment of the sections of Part 2

   - Reduction of the cost of procurement and use of potentially voluminous guidance by

   - Ability to procure only what is applicable and

   - Minimization of the irrelevant information with which a user would be faced in extracting what is applicable

4. An outline structure is attached as Annex A.

05.06.05

ITG 6 – SR Standard Design Specification
From the perspective of the Swedish mirror group

This document has been prepared by the Swedish mirror group to ITG6. The document covers separate sections:

1. Introduction with an exploration of some basic decisions that from our perspective should be laid down as a prerequisite for the design specification

2. Our proposal for a Design Specification

3. Explanatory notes and justification for the proposed Design Specification

1. Introduction and basic decisions

ITG6, with the task of addressing the "how" of operationalizing Social Responsibility, has during the last weeks had an extensive e-mail discussion. In this section some of our thoughts to the questions raised in the discussion are mentioned. For further details please see also our response to the questions put forward from Dr. Wieland in his e-mail communication from June 6.

Primarily, we need to build our work on the TMB resolution 35/2004 and the New Work Item Proposal (NWIP), dated 2004-10-07. We should also include the comments on NWIP that were made prior to the first WG meeting in Brazil, March 2005.
Further added the TMB resolution 38/2005.

Below we discuss some questions that need to be answered in order to make a proposal for a Design Specification.

1.1 Standard or guideline or both?

We propose to stay with the NWIP definition: "…and ISO standard providing guidance" and further that it should be a process standard where performance results and improvement are emphasized (again according to NWIP).

→ The standard provides guidance for organizations on how to address their social responsibilities. Performance results and improvement are emphasized.

1.2 ISO 26000 – connection and consistence with treaties and conventions and existing ISO standards.

We believe it could be valuable to position ISO 26000 in relation to other ISO standards and to other treaties and conventions. This would also be necessary in order to fulfill the NWIP requirement not to be in conflict with any already existing document of dignity.

It seems that NWIP acknowledges the spectrum of SR issues listed in the SAG report. This implies that social responsibility in this context should include environmental issues, ethical issues, human rights issues, labor conditions issues and perhaps some more.
The list of SR issues is very broad and by far outranges the issues scope of most other ISO standards. This means that, apart from the fact that the standard should not be a Management

standard system (MSS), the standard cannot be seen as a parallel standard to already existing ISO 9001, ISO 14001, OHSAS 18001, SA8000 or other. ISO 26000 should probably be seen as an umbrella standard, which could be positioned above all the mentioned standards… and others as well. Please see also the discussion about ISO 26000 as an integration tool further below. The view of ISO 26000 as an umbrella standard should not mean that it must be a mandatory integration tool.
Now, related to the SR issues covered by ISO 26000, there are several existing initiatives that would be placed on the side of ISO 26000, e.g. that from the wide spectrum of the issues would be similar.

Discussion about ISO 26000 and the use as an integration tool:
We, the Swedish mirror group to ITG 6, believe that it is important to assist organizations that already have implemented management systems, e.g. ISO 9001 or other, to use the ISO 26000. This should be done with the purpose of adding frameworks for the SR issues that they have not managed earlier. Such issues could be business ethics or human rights or other. There might further be new elements that the organization would like to include. It is important not to exclude those organizations from using ISO 26000. In such cases, ISO 26000 shall probably to some extent be used as an integration tool.

On the other hand we support the view that it should be possible to use ISO 26000 as a standalone standard to address social responsibility. (How to do this seems to be a question that is still open.)

Further, the above depends on the distinct definition of “integration tool” that is chosen.

1.3 Which implications does the connection as described above have on the abstraction level of ISO 26000?

Due to the wide scope of SR issues that shall be covered by ISO 26000 the content of the standard must probably be on a high level of abstraction and rather have some options regarding for example methodology than going into any depth. The other extreme of going very much into depth would probably be impeded by the fact that the spectrum of issues is so diverse that it will be difficult to find one universal approach for all of them.

1.4 For whom

The standard must be applicable to all types of organizations, including public services. Probably, again, a set of options could be available for every organization to choose from. The resolution for ITG 6 says that ITG 6 should explore what it would look like to address guidance for specific kinds of organizations. This should be done, but it might prove a very complex task to write a standard that has specific guidelines for every type of organization. Further, due to the probably high abstraction level of the standard itself, it could perhaps be more viable to let every organization choose from a set of optional elements and ask them to explain their choice.

1.5 Organization and Leadership as a prerequisite for a successful SR program

There has been a lot of discussion about the issue of MSS, Management System Standard, or not MSS. TMB decided in the Summer 2004 not to request a management system standard (pls. see also clarification from TMB with resolution 38/2005). Nevertheless this issue has been debated at length. We believe that one reason for this might be that common MSS

approaches (apart from the guideline ISO 9004) literally ignore important leadership and organizational contextual issues. Such issues are leadership in creating a strong culture with values that are integrated throughout the organization. We believe that many organizations have strong internal and values- oriented cultures that, without an explicit management system approach, attain the same level of results (within SR) as other organizations.

Key to success within the SR area is not only to have in place a systematic work methodology but probably at least as much to succeed in creating a cultural context that favors exceedingly high ethics and living up to principles and values. Here we list some of the leadership qualities we would encourage:

- Good role models.
- Deep understanding for cultural differences.
- Deep understanding of the principles and values.
- Knowledge about the balance between environmental, societal and human needs.
- Excellent communications and networking skills.

The above qualities are only examples and by no means constitute a complete list.
Why are those qualities especially important if an organization want to address SR issues? Again we come back to NWIP and the fact that SR issues are very broad, complex, interdependent; dependent on culture, society, all different types of relationships within the society.

1.6 Verification

NWIP and TMB state clearly that the standard will not be certifiable. We support that.
For the sake of transparency we think it might be useful to remind ourselves of the fact that any verification service might be of use for organizations wanting to “increase confidence and satisfaction in organization among their customers and other stakeholders” and “facilitate credible communications on the organization’s commitments and performance related to SR.” (NWIP Annex A and B.)
We don’t see a way to fully eliminate[1] the possibility to create services related to verification for this standard. The market will finally decide existence and form for verification services.

[1] One sub-group member suggests that we should not use the wording ”fully eliminate” as it might be possible in the future to use some sort of verification of ISO 26 000 but that it is correct to ”fully eliminate” the possibility to certificate ISO 26 000.

2. Design Specification Proposal

We propose the following Design Specification:

Contents
Foreword
Introduction

1. SCOPE
The scope is to provide guidance for organizations on how to address their social responsibilities. Performance results and improvement after integration of material issues into the core activities and the backbone of the organization are emphasized.

2. DEFINITIONS
Social responsibility, Stakeholder, Value chain, Etc.

3. PRINCIPLES

4. FRAMEWORK

4.1 Analysis[2]
- Input variables to analysis
- Principles and values
- SR issues
- Value chain approach
- Risk/opportunity, SWOT, FMEA or similar analysis
- Stakeholder engagement

4.2 Specific issues related to strategy, plan, implementation
- Materiality, e.g. which issues
- System boundaries
- Planning with focus on connections to existing standards, initiatives, principles and any already existing management systems within the organization, organizational issues; Matrix for organization that already have implemented relevant ISO standards
- Planning regarding performance, continual improvement and communication of the results … how to define indicators based on material issues and objectives as well as segments of the value chain that are material
- Leadership
- Culture and living the corporation's values
- Justification for the organization's specific SR concept
[3]

4.3 Evaluation & Reporting
- Quantitative and qualitative indicators, continual improvement
- Reporting framework – commitment and performance
- Other stakeholder related activities

[2] One sub-group member suggests that we should name point 4.1 Assessment and Analysis
[3] One sub-group members suggests we add the headline "Essential changes" to answer the question what the organization should do to maintain social responsibility when essential changes such as new products and new services are introduced.

3. Explanatory notes[4]

New elements, or specifically different from other initiatives, within the "how", e.g. operationalizing, are:

- Analysis
- Specific issues related to plan, strategy, implementation
- Evaluation & reporting
- Stakeholder engagement (including communication, for example through reports)

Stakeholder engagement is probably the one element which is integral, e.g. is applicable at many points in time and for different stakeholders at different points in time.

Below we discuss some of the elements mentioned above.

Introduction about Methodology, business & operations models

In order to address social responsibility every organization will use one or several methodologies. We are the belief that the general PDCA-framework is viable in this context. Below we make an attempt to describe a possible general framework.

1. Situation analysis → 2. Strategy and objectives → 3. Implementation → 4. Evaluation → 5. Reporting → continual improvement

Many organizations will choose to go through this loop many times, each time expanding their system, and then in order to refine and ensure continual improvement.

We want to stress the fact that organizations have very different business & operations models. It is crucial not to impede any organization in finding and using their own model to achieve their results. We have taken the PDCA-model as mentioned above, because it is a well-known model and fits into the ISO family of standards. But we welcome any model that fulfills the objective of this standard for SR.

3.1 Analysis[5]

- Input variables to analysis
Such are other initiatives, standards, conventions.
- Principles and values
Principles as chosen by the organization itself (from a generic set) and values that are the organization's
- SR issues
List of issues…
- Value chain approach
- Risk/opportunity, SWOT, FMEA or similar analysis
- Stakeholder analysis, dialogue and engagement

[4] A suggestion from one of the sub-group members is that this part, explanatory notes, should be moved to part 2 Design specification proposals
[5] One sub-group member suggests that we should name point 3.1 Assessment and Analysis

We find it very important that every organization is well aware of its core processes and/or core activities. The DNA of the organization's work with addressing SR should be related to core processes/ activities.

3.2 Specific issues related to strategy, plan, implementation

Materiality, e.g. which issues
- Impact/Risk/Opportunity on environment, society, stakeholders and degree of influence
- In which parts of the value chain (up-stream, down-stream, geographical dimension, other dimensions or categories)

System boundaries
The standard should assist organization in defining their system boundaries – regarding segment of the organization to cover, segment of the value chain, which SR issues and possibly also which principles to adopt.

Every organization should decide for itself which boundaries it has for its impact on society, its responsibility and its program for addressing SR. The organization should be able to explain the rationale for their choice of system boundaries. This explanation could take the form of a SR system description and also include the materiality aspect.
Further, a prerequisite for the definition of system boundaries is a set of possible SR issues to include in addressing SR.

Planning with focus on connections to existing standards, initiatives, principles and any already existing management systems within the organization, organizational issues; Matrix for organization that already have implemented relevant ISO standards

In this phase the SR system description should be made. As described above, system boundaries should be defined, but also elements to use for the work and processes and/or activities within the core business operations that should be affected will be designated. A plan for implementation should be made.
Here we see the possibility of connecting to existing standards for the organizations that already have implemented an ISO management system standard.

Let's take the example of having a set of elements that is "allowed" for use in ISO 26000:
- Policy
- Organization of SR
- Resources
- Action plan
- Evaluation
- Reporting
- Stakeholder engagement in parallel

As an example let's take the following groups of issues: Environment, Ethics, Social issues.

If we make a matrix and combine the above elements with the groups of issues, it would be possible for the organization to design the new plan in order to put Social responsibility in place, where O are existing elements and X are elements that need to be implemented:

[6]

Group of issues	Policy	Organization of SR	Resources	Action plan	Evaluation	Reporting	Stakeholder engagement (parallel)
Environment	O	O	O	O	O	O	X
Ethics	X	X	X	X	X	X	X
Social	O	X	X	X	X	X	X

Please observe that the elements and groups of issues are only examples and by no means a final proposal. The objective with this example is to show how to work with ISO 26000 if the organization has existing management systems. Naturally also ISO 9001 could be used and would, with it's process approach, probably be very suitable indeed.
The table above might be complemented with a value chain approach if appropriate.

As seen above we support the idea that some commonly used elements of operationalizing (which admittedly could also be found in an MSS) should be allowed in this standard.

There are probably a set of elements that are necessary in order to be able to operationalize SR. This question should be explored in greater detail. For example define all potential elements and then explore which would be allowed and which not or which combination of elements that would be allowed.

The element of stakeholder engagement is one where a parallel approach might be chosen. Different stakeholders should probably be communicated with or engaged at different points in time or in the project.

Planning regarding performance, continual improvement and communication of the results
… how to define indicators based on material issues and objectives as well as segments of the value chain that are material

Justification for the organization's specific SR concept
The organization should explain the SR concept and the decisions, limitations etc. taken.

Stockholm, June 21, 2005
Sofia Hagman on behalf of the Swedish mirror group ITG6
e-mail: sofia.hagman@kpa.se

[6] One of the sub-group members suggests that the left column should be named "group of issues examples" and that another line called etcetera should be put under the line social. The member also suggests that instead of ethics we should use economy to fulfill the meaning of sustainability. Another sub-group member suggests that we include the title laws in the table.

Draft Design Specification for ISO26000: The Platform + Drawer Model

2005/06/24

Nippon Keidanren ISO/SR Mirror Group

Part : Universal & Generic Guidance

1. The Purpose and Scope

2. Terms and Definitions

3. General Principles

4. SR components

Guidance given here is universal and generic and shall be a platform for the implementation of SR activities in any type of organization in any country or region. Each issue may consist of principles and key references (international agreements including the Universal Declaration of Human Rights, the ILO Declaration of Fundamental Principles and Rights at Work, United Nations Framework Convention on Climate Change, UN Global Compact, and the OECD Guidelines for Multinational Enterprises).

4.1 Fundamental SR issues

(1) legal enforcement/compliance
(2) human rights
(3) employment
(4) quality of products and/or services
(5) safety/information security
(6) environment
(7) community involvement

4.2 Stakeholder Communications/Engagement

(1) definition of stakeholder communications, stakeholder engagement
(2) principles of stakeholder communications, stakeholder engagement
examples) honesty, mutuality, win-win solution, complementary

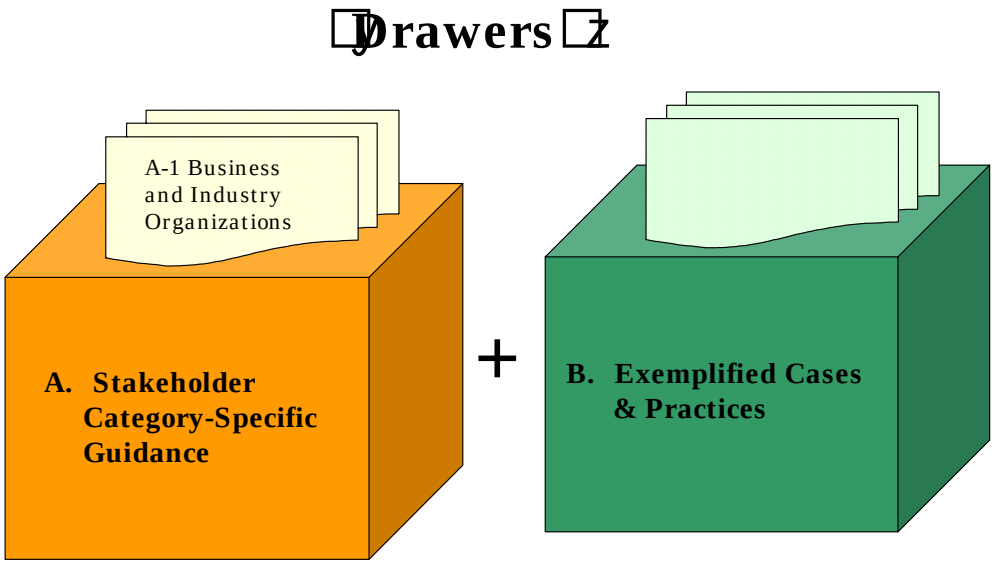
5. Annexes and Bibliography

Part : Drawers Containing Case Studies and Practices

A. Stakeholder Category-Specific Guidance

This section provides guidance on the relevant aspects of social responsibility for different types of organizations, including organizational roles and principles to operationalize.

A-1 Business and Industry Organizations
A-2 Government Organizations
A-3 Non-Governmental Organizations
A-4 Consumer Organizations
A-5 Labor Organizations
A-6 Others

B. Exemplified Cases & Practices

The exemplified cases and practices are categorized in such a way to be drawn by SR components and types of organizations.