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Edited by Ingrid Muenstermann

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Meet the editor

Dr. Ingrid Muenstermann is a retired academic, affiliated with Flinders University of South Australia, College of Nursing and Health Sciences. As an adjunct, she presently teaches *Critical Social Analysis of Health, Health Practitioner Practice 1* and *Health Practitioner Practice 2.* Before Ingrid became an academic, she worked in several secretarial positions in Germany and in Australia. After migrating to Australia, she undertook university studies on a part-time basis and was awarded a PhD degree in 1997. After many sessional contracts, between 2004 and 2013, she established an academic career at Charles Sturt University, Wagga Wagga, New South Wales. The position provided a good grasp of social inequalities, a special interest of hers. Ingrid's research interests vary greatly. She started off with an interest in multiculturalism and immigration; health and mental health were the next area of interest, followed by issues relating to rurality, the environment and renewable energy. Editing the books *Some Personal Stories of German Immigration to Australia since 1945* (2015) and *People's Movements in the 21st Century, Risks, Challenges and Benefits* (2017) took her back to issues of immigration. The book on *Social Responsibility* is different; it takes a critical look at issues of accountability in capitalist, market-driven societies in the twenty-first century.

Contents

Preface

Social responsibility – what exactly does it mean? How important is it in market driven, capitalist societies? The construct is not black or white, different people (and corporations) look at it through a different lens; there are advocates as well as critics of the concept. In trying to be objective but more so advocating social justice, some explanations are necessary and I am taking the opportunity to use several scholarly articles as well a TV program, radio broadcast and newspaper articles to convey the point that systemic changes are needed. Let's begin with what corporate social responsibility actually entails. J. Snider, R. P. Hill, R. and D. Martin [1] discuss four pillars of corporate social responsibility: economic, legal, ethical, and discretionary: Economic responsibility means to make profit and expand the business. Legal responsibility refers to obeying the law. The ethical component means that companies have to respect the rights of others and meet the obligations placed on them by society to ensure these rights. The discretionary component indicates philanthropic activities that support the broader community. Snider et al. find that these components look simple enough to be followed, however, considering the global market economy, different rules and regulations of different globalised companies, different basic characteristics of human behaviour, and different circumstances, make following clear and reliable guidelines difficult. That may be so, but acknowledging recent environmental disasters, air pollution and climate change, deforestation, species extinction, soil degradation, asbestos mortalities, working conditions in sweatshops, and corporate (mis)management, there is clearly an urgent need to clarify corporate social responsibility and to legalize it. During the last few years, some changes have occurred after the public threatened to boycott certain products. These changes were implemented or enforced by trade policies or government negotiations, but they are not sufficient to worldwide save environmental destruction or to create safe work places.

Interestingly, according to T. L. Besser [2], a certain connection between business and society has been the subject of social scientists and philosophers at least since the industrial revolution; in fact "the works of Marx, Comte, Durkheim, Weber, Toennies, Spencer, were prompted by the authors' desire to explain the societal antecedents and consequences of the forces of capitalism" (p. 14) The author also argues that in modern society more than ever power and wealth equals responsibility, i.e. businesses do have ethical and discretionary social responsibility. Scholars such as T. Bivins [3], J. Snider et al. [4], D. Clift and G. Wells [5], as well as P. Schreck [6] confirm this point of view. Schreck starts his book with the words "Twenty years after the end of communism, problems of business ethics in capitalism have become increasingly important" (p. v). Advocates argue that corporations should act socially responsible, business should benefit its stakeholders as well as the overall community. Critics, particularly earlier ones, the most well-known being Milton Friedman [7] in the

1970s, argue that business exists to make profit. Really? Attitudes have changed since then, but several international disasters during the last few years demonstrate the need for strict rules and regulations. Here are some of Australia's mining tragedies, which came to mind when considering to edit this book: Moura, 1994, an explosion trapped eleven miners, another explosion occurred preventing rescue efforts, the mine was sealed, leaving the bodies undiscovered [8]. Newcastle, 1996, a mine that had been abandoned eighty years ago became a tragedy for four men who were mining [9]. Northparkes, 1999, four miners were killed because of a wind-blast [10]. Beaconsfield, Tasmania, 2006, the mine collapsed burying seventeen people (14 escaped, two were found alive after a fortnight using a remote-controlled devise, but one miner died) [11]. There is also the re-emergence of coal workers' pneumoconiosis - mining related lung disease in Australia, 2016 [12]. On an international scale, mining in Indonesia, Rio Tinto-Zinc Corporation (RTZ), a multinational corporation in which Australia is involved, registered the following accidents: in 2003, the Grasberg mine recorded two miners were killed, five injured and six were missing [13]; in 2012 twenty-eight miners lost their lives [14], and in 2014 five miners were killed [15]. IndustriALL Union, who is protective of human rights and workers' safety, finds that Rio Tinto is not facing up to its responsibility. In 2017, Britain's Serious Fraud Office [16] opened an investigation into Rio Tinto for suspected corruption in the development of the world's largest unexploited iron-ore deposit in Guinea; the Australian police also investigated.

But people working in mines are not the only ones experiencing the corporations' neglect of social responsibility. Here are other cases of deceit, maltreatment and exploitation: Nike's outsourcing of the workforce [17]; Apple's broken promises [18]; Volkswagen's efforts to circumvent emissions control [19]; and James Hardie's use of asbestos and their very slow process (avoidance) of mesothelioma claims [20, 21]. In December 2017, the Australian Governor General ordered a Royal Commission into Misconduct in the Banking, Superannuation and Financial Services Industry [22], which has uncovered appalling, unethical behaviours and corrupt deals which have led to personal tragedies; the investigation is still ongoing and criminal charges are being considered.

Considering the points of reference social institutions and companies create and make known to the public, the outcome of their actions have been hypocritical and the effects have been disastrous, as the above examples demonstrate. But hypocrisy does not only relate to the corporate sector, it should be rooted in the individual, as P. Antonetti, F. Bowen and D. Manika [23] argue in their call for conference papers: "this greater need for authentic and sincere corporate social responsibility has also resulted in a push for individual social responsibility". On the big scale the salaries of CEOs of banks and large corporations can be a considered [24]. On a much smaller scale, the thought of individual responsibility came to mind when I entered the kitchen of our college yesterday. Early in the morning, to get my usual coffee, there was a big cake in a cardboard box on the table with a note, 'Please help yourself to some cake'. The note was not signed but it can be assumed that the donor wanted to convey a note of thanks. Late in the afternoon, before leaving university, the empty box with some crumbs, the note and the dirty cake knife were still on the table. No one who had enjoyed a piece of cake had felt a commitment to dispose of the box or wash the knife.
Does this demonstrate a lack of individual social responsibility? Is this a sign of our time, of a society in which individualism, eccentricity, has become so important that any notion of individual responsibility is being neglected?

Coming back to the bigger picture and looking at modern societies, acting responsibly to sustain the environment and to improve society overall is very important; companies should have an obligation to take into account the society at large and improve its welfare independent of direct benefits to the company. And this should be endorsed by law. The European Union has legalised corporate social responsibility in April 2014, "the European Parliament adopted provisions requiring companies to disclose information on their environmental, labor, and human rights impacts, in addition to the financial reports they already deliver" [25]. Australia is still considering it: "Due to the limitations of the voluntary approach, there has been a movement to encompass CSR into regulation in order to ensure corporate compliance with social, environmental and human rights issues" [26]. What does it mean that "there has been a movement"? Are there any consequences of the "movement", asks my critical voice. Blackman, Kennedy and Quazi [27] researched corporate social responsibility and individual resistance within organisations. They argue that a whole new way of thinking is necessary and, following Aguilera et al. (2007), that individual staff need to be trained to follow certain thought processes which must be 'instrumental', 'relational' and 'moral' (p. 241). When researching for this book, an advertisement of Technische Universitaet Dresden, Germany [28], caught the eye. A degree programme entitled 'Corporate Social Responsibility' is offered to develop managerial skills for students who want to enter the corporate world. Long-term and sustainable economic success is promoted because "social responsibility increases the chances for innovative services and products". This is an important vision and could serve as guideline. It is also a common thread throughout this book; acting in a socially responsible way will increase economic success for all those involved in business, it will protect, at least to a certain extent, the fauna and flora, and create secure and safe working environments. One of the chapters in the book is about teaching social responsibility

In the hope that the critical analyses presented in this book will inspire the reader; on behalf of the authors, I would like to thank you for your concern! May the force be with you!

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Section 1

Adopting Social Responsibility into the Teaching Sector

Chapter 1

World Society: An Ice-Breaker for a Global Shift in Sociology?

Veronika Wittmann

Additional information is available at the end of the chapter

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Abstract

Conceptualizations of world society represent elementary breaks with traditional thinking styles in sociology. In this research field, nation-state myths have been disenchanted, the local is identified as global and vice versa, and the central concept of sociology—that of society, which has always been manifold and controversial within the discipline—becomes relevant again. World society approaches require the self-reflexive perspective of the constitutive conditions of the discipline of science. They also make essential contributions to the de-nationalization of concepts and to methods of empirical research. Thus conceptuality refers to the stepping out of a national context and the opening out to the global level as a reference framework for analysis. In addition, conceptualizations of world society are an important contribution to the *global social responsibility* of science. Sociology has, thanks to world society approaches, constructive plans to put forward a *global shift* of the discipline of science. For sociologists, this project will be a central challenge of the twenty-first century at the *construction site of sociology*.

Keywords: world society, elementary breaks with traditional thinking styles, development trends of sociology, global social responsibility, global shift

1. Introduction

Since the beginning of sociology's establishment as a scientific discipline, a plurality of approaches has existed. The increasing internationalization of the social sciences makes it difficult for a *national sociological tradition* to take the initiative to strengthen the intellectual cohesion of this scientific discipline. However, what intellectual development has not been able to achieve itself has been done almost unnoticed by social processes. The decisive factor for the new phenomenon of homogenization of sociological theory, research and teaching has undoubtedly been the multidimensional process of globalization [1].

One of the most diverse and often unthinkingly used concepts of sociology in literature is that of society. The quasi self-evident equation of the state with the concept of society is found in many theoretical approaches and empirical studies of this scientific discipline. A sociological theory that accepts without reflection the assumptions of the surrounding social reality does not get beyond the description and interpretation of this environment. Another perspective becomes visible, if the reciprocal interdependence of the *local* and *global* is included in analyses. Referring to theories of world society, Klaus Seitz [2] notices that a profound world society theory should be able to reconstruct the emergence of global structures of local events and describe interactions between macro structures and occurrences in the social micro area.

Sociological theories that incorporate the *global* conceptually have to question the proven concept of progressive system of relevance and causal references systematically. 'State' and 'society', 'culture' and 'economy' have so far been valid as the quasi self-evident analytical concepts by means of which sociological knowledge of inclusion and exclusion, status and power distribution, poverty and social inequalities, norms and values, etc. are produced, and so these concepts even remain a problem to this day. This is because to recognize the *global* as the supreme system of relevance means nothing more than to create as a consequence an epistemological challenge; to analyse from now on inevitably all social phenomena in their *world reference* [3].

Sociology has gradually improved and deepened its theoretical basis in the course of history. At the same time, it has had to react to developments and thereby consider new theoretical statements. It makes a difference, if only national or even global perspectives have to be considered and are to be processed [4].

An outdated sociology, as discussed by Ulrich Beck [5] with the polemical accusations of the *zombie science of the national outlook* which thinks and researches in categories of international trade, international dialogue, national sovereignty, national communities, etc., is becoming the unreality science of a 'national sociology'. Just as national economy, national sociology is at the end of its tether. There is also a low level of *self-reflection* about to what extent the discipline is facing the challenges and opportunities of a continuously globalizing and already globalized social world. This is visible in particular in the use of the term society in sociological literature. Niklas Luhmann [6] states that despite the immense global relationships in modern society, sociology shows emphatic resistance when it comes to recognizing this global system as a society. Those authors that grant the modern state a central role in their social theory again do not recognize for this very reason the global system as a society. Such a focus is considered by Niklas Luhmann [7] as one of the *current knowledge blockages of the theory of society*.

Rudolf Stichweh [8] points to an interesting science-systematic indicator that in his view suggests that a regionalization of the concept of society cannot be thought of as consistent. Thus, there is for the discipline of political science the subject 'international politics' as opposed to 'political science' and for the discipline of economics the subject 'world economics' as opposed to 'national economy'; meanwhile, there has never been a comparable dichotomy in the history of sociology as a discipline. He [9] therefore argues that what is still missing in the

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sociological writings on science in the system of world society is an approach which enables an explanation of the dynamics of the process of globalization of science. The lack of bisection in the discipline of sociology may be a reason that there is still a long way to go for sociology in the direction of becoming a globally oriented scientific discipline, and the path towards a *world sociology* will take some time to complete.

In this chapter, social responsibility is understood as a worldwide endeavour. Therefore social responsibility here means *global social responsibility*. Social responsibility stands for an ethical framework that proposes an entity—be it an individual or an organization—that as such has an obligation to act for the benefit of society as a whole. Here the term of society is not equated with a nation-state, but the article discloses society in a worldwide frame of reference: word society so to speak. World society approaches refer immediately to a global reference frame. Furthermore they point to social responsibility beyond a nation-state or a world region: a global social responsibility (of scientists) so to say.

2. World society: elementary breaks with traditional thinking styles in sociology

The formative idea of social science production in the nineteenth century was the discovery of 'society'. The twenty-first century is faced with the task of saying *farewell* to traditional ways of thinking, to all 'homeland theories of society' [10] and instead to reconsider the 'world reference' of the social [11] against the fixed idea of 'self-containedness', 'territorial enclosure' and 'boundedness' (of societies, states, cultures, and identities). This farewell to traditional thinking styles of sociology and reconsidering of the 'world reference' of the social, establishes an ad hoc connection to the concept of globality. This plays a role in many theoretical conceptualizations of world society.

The term of globality implicated three elementary fractions with the thinking styles of classical sociology as a new—and for all social relations relevant—*sense and operational framework*: firstly it caused the separation of class-structural systems and its classification systems through identity-political aspirations; secondly it caused — the globe and the global —an identification pattern that is contrary to national symbolism and rhetoric and is focussed on transnational structure formation taking the place of territorially defined value orientations and related ideas of enclosed spaces, historical resistance and social cohesion; and thirdly, it meant the rejection of *deterministic globalization narratives by profound sociological analysis*, which may reveal the specific embedding of culture and economy as well as technology in structures of social relations. World society as the sum of social relations is the result of historical development [12].

The scientific issue of whether and on which structural formations a world or global society is recognizable, is one that has to be answered by sociologists in the twenty-first century. While it is for Martin Albrow [13] a 'society beyond boundaries', other approaches in their theoretical programme, for example, aim for the concept of movement and state a 'sociology beyond societies' Urry [14]. John Urry dares to suggest the most demanding attempt to design a new agenda for sociology, whose main concept — that of human society — has been lost. He inserts in that empty space, which the concept of sotciety leaves behind, conceptual terms such as *networking, mobility* or *horizontal fluids*. The concept of society as a region is here substituted by *networks* and *fluids* [15].

At this point it is worth noting that the world had already been selected by some sociologists as the primary frame of reference for analysis decades earlier, that what now due to global processes is formulated as a contemporary requirement for the sociological discipline is, strictly speaking, a reformulation of approaches that already exist. In fact, 50 years ago a few sociologists chose the world as a benchmark for their analyses. Decades before 1989, explicitly in the 1970s, four theoretical approaches were already relatively independently formulated in sociology, which focused on the topic of world society. Among these approaches are the stratificatory approach to world society by Peter Heintz, the sociological systems theory by Niklas Luhmann, the world-polity approach by John Meyer, and the world system analyses by Immanuel Wallerstein.

In the *first* approach of Peter Heintz [16], world society is designed as a global field of interaction. At the centre of his conceptualization is the issue of the internationalization of inequality. The formation of a global stratification system after the end of World War II is here the central assumption. This is systematized in accordance with the concept of development, so that all people and countries worldwide are included in this field of activity.

The *second* theoretical approach that of sociological systems theory by Niklas Luhmann, comes to the adoption of the *old European* related concept of society on statehood, territoriality and normative integration. At this point, modern society is understood as an effect of an evolutionary new formation of systems, which have functional differentiation as a basis.

Society forms here as a comprehensive and inclusive communication connection in the context of all parts and functional systems—which indeed fulfil social functions, but have no place in the conceptual framework of the term of society. Neither is there a functional primacy of a subsystem, nor do spatial boundaries exist. The limits of communication are also the limits of society, and world society is to be understood in terms of the functions, requirements and results of functional differentiation [17–21].

The *third* approach to world society in this period was developed by John Meyer and his research group at Stanford University in California. The intended research target can be described in this context as exploring in the axiomatic horizon of world society the geographical diffusion of institutional patterns and structural similarities which are realized over compulsion, imitation and normative pressure [22–25].

The main focus at this point is the concept of world polity that is to be understood as a broad cultural regulatory framework of occidental origin which caused processes of global homogenization.

The world-polity approach boils down to conceptualizing the world as a unified system that provides the context for the description of *globally circulating knowledge and standard stocks that equip the elites of the world with recipes and blueprints* on the basis of which the state and society as well as citizenship can be organized. The distinction of knowledge areas resulting from the power of functional differentiation creates global expert systems that in turn affirm global isomorphies [26].

The *fourth* theoretical approach, developed in the 1970s, is that of the world-system by Immanuel Wallerstein. This is one of the most outspoken critiques of the categorical state-centrism, for which reason the concept of society no longer has any function [27, 28].

Immanuel Wallerstein [29] rejects the concept of society and opposes equating the concept with that of the state by arguing that if we also alter the limits of society by changing state borders, how can we justify that the legitimacy of a government determined by a society is different from the rule of legitimacy as provided by a state? In his view the concept of society should give us something solid on which we can build. He then subsequently equates the singular concept of society with that of the capitalist world economy by stating that only our society, the capitalist world economy (and even that is only a partial contract-defined entity), created our diverse meaningful communities [30].

The focus of the world-system approach is the perception of capitalism as a geographically extensive and historically distinctive system. In this sense, the global space is not conceptualized through a state-centrist list of words such as society or culture, but is seen as a *modern world system*. The emphasis here is not states but empires. Modern states are not the original framework in which historical development took place. It would make more sense if we imagine them as a particular set of social institutions within the world capitalist economy. Furthermore, the latter is the context in which and from which we can analyse structures, conjunctures and events [31].

The specific logic of the capitalist world system is firstly the result of a spatial mismatch of economic structures and secondly due to political and cultural arrangements. The modern world-system is divided in terms of supranational zones of centre, semi-periphery and periphery; on the other hand, states are those geographic base units from which these zones are constructed. There are territorial states which undergo positional battles for their locus in the centre-periphery structure [32]. A major criticism of the world-system approach is that of economic reductionism; the approach stands for the carelessness towards other sub- or transnational phenomena [33].

This analysis of the world-system was intended to be a critique of nineteenth century social science; it remained, however, according to Immanuel Wallerstein [34] an *incomplete, unfinished critique*. In this sense, he argues in his book 'Unthinking Social Science: The Limits of Nineteenth Century Paradigms' [35] for a reorganization of the social sciences by demonstrating the limitations of nineteenth century paradigms. He considers the overcoming of the misleading but lasting legacy of social science—the division of social analysis into three levels: the economic, the political and socio-cultural—as a key challenge of the present: This trinity obstructs the way like a granite block that impedes our intellectual development [36]. Immanuel Wallerstein considers the global structure and the processes of its development to be *the* central agenda of social science research in the future.

The four approaches of sociology that have developed since 1970 which turned their thematic focus on world society have, in spite of their different theoretical conceptualizations, one common denominator: they establish elementary breaks with traditional thinking styles in sociology.

3. Development trends of sociology in the twenty-first century

In sociology, as in other social science disciplines as well, there are numerous recognizable phenomena of de-nationalization. So, for example, an increase of transnational co-authorships and citations is detectable. There is a continuous rise of transnational and transregional interactive contacts between scientists as well as an increase of transnational co-authorships and citations detectable. Furthermore there has existed for several decades sociological associations beyond a national framework such as the International Sociological Association and regional sociological associations. That is, the academic discipline in the fields of literature and at professional associations moves away from a national context towards a regional and global policy framework.

Due to global processes that affect every part of the world, sociology is not only forced to embrace global issues, but as a discipline it must also ask itself self-critically again and again the question of which research agendas will be relevant in the future, in order to be able to design innovative and contemporary scientific discourses within the discipline. Required here is a formulation of future trends, which will be indispensable for sociology.

In the following the extent to which conceptualizations of world society can make relevant and constructive contributions in terms of development trends of sociology in the twenty-first century is discussed. Based on the assumptions of Dirk Kaesler [37] four developmental tendencies of international sociology can be recognized in and for the twenty-first century. According to Kaesler, the following developments will occur:

The *first* development states that there will be an increase in the *self-reflexive* perspective on the constitutive conditions of the sociological discipline.

The *second* development predicates that there will be more intensive efforts towards *de-nationalization* both of sociological conceptuality and methods of empirical social research. In addition there will be a *de-essentialization* of the narrative in the emergence and development of Western 'modernity', which is characterized by an intercrossing enculturation in the dialogue of cultures.

The *third* development assumes that the *disciplinary self-consciousness* of sociology will increase, and at the same time the challenges of inter- and transdisciplinary fields will be accepted.

The *fourth* development postulates that there will ultimately be a rise in the formation of *transnational* intellectual links, which instigates a common sociological theory development together with shared elementary ideas and basic concepts as well as methodological strategies.

Given these formulated development trends, the approaches of world society can be regarded as pioneer work, since they make significant contributions to a sociology of the twenty-first century in all four mentioned points. This is justified as follows:

World Society approaches require the *self-reflexive* perspective of the constitutive conditions of sociology mentioned in the *first* paragraph. Where the global is appearing as a reference framework of analysis, it is essential to show what little value it has had until now in many

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approaches in sociology. This may on the one hand be connected with the history of the discipline, but on the other hand also with the fact that many sociologists are to the present day focused on conducting studies mainly in a national context. The world as a framework for sociological studies has been ignored for the most part, or deemed as not relevant.

World society approaches also make essential contributions to the *second* mentioned point, the more intensive efforts to *de-nationalize* sociological concepts and methods of empirical social research. The subject of world ad hoc presupposes a de-nationalization of sociological terms as well as methods of empirical social research. Referring to the former, the merger of the conceptuality of the *world* and the terminology of *society* alone—the *world society* so to speak—already relegates the use of society as a concept from a national or local context to a historical one.

The *third* mentioned development trend of international sociology in the twenty-first century—the simultaneous increase in *disciplinary awareness* with the assumption of the challenges arising from *inter- and transdisciplinary* fields—is also evident with reference to the issue of world society. Thus, with reference to the last point, the disciplines of political science and international relations in particular [38–41] as well as history [42], have also adopted the concept of world society.

Issues of social, political, economic and cultural developments in the world are directly related and de facto cannot be dealt with by one discipline alone. At this point, inter- and transdisciplinary cooperation is an indispensable requirement for taking on the global challenges of the present in a scientifically constructive way. There is no profound scientific progress without pointing out the political formation of world society, without its economic interdependence, its cultural hybrid formations and without its historical bondage. It needs the constructive cooperation of all social science disciplines in order to meet global realities.

At the same time, apart from this required inter- and transdisciplinary cooperation, individual scientific disciplines must also devote themselves to their genuinely specific topics. For sociology, this means turning to the conceptual apparatus again—especially to its central terminus of society—to relate the analysis of the social in a theoretical perspective on the world context and to advance the development of empirical methods to study global interdependencies.

The *fourth* point mentioned, which refers to the increase in the formation of *transnational intellectual links*, is also given on the subject of world society. So the conceptuality already refers to the stepping out of a national context and the opening out to the global level as a reference framework for analysis.

The discipline of sociology is confronted with complex tasks in the face of global reality. In order to keep pace with rapidly occurring social transformations, indispensable conceptual innovations are necessary within the discipline.

Global trends call for groundbreaking visions for social action and for the social order. There is sufficient evidence that it is not easy for sociologists around the world to cope with the complexity and urgency of these tasks. Research and teaching in the field of sociological theory have become a self-referential undertaking, which is much more inspired by the classics of the discipline than by the social problems that surround us [43]. One result of this is certainly that there has been an increase in heterogeneous and strongly divergent orientations in the formation of sociological theory, as well as a lack of intellectual and institutional coherence within sociology itself. On the other hand, a homogenizing effect of globalization can also be observed in the formation of sociological theory. These internal turbulences and the products of intellectual processes are the essential motor for present day sociological self-reflection within the discipline [44].

The development of sociological knowledge must face global challenges in the third millennium. Genuine innovation and the discussion of continuity and discontinuity in sociological theory and concept formation, as well as the development of methods for detecting global social change, are contemporary requirements of sociology in the face of global reality. Schisms, variations and repetitions are characteristic of the history of sociological ideas. In this respect, sociology can not only be described as a scientific discipline characterized by many paradigms, but there are also often dominating styles in contrast to constructive innovations. What is interesting at this point is the question of whether there has actually been progress in the development of sociological knowledge in the last half-century, or whether it is just a change in certain ways of thinking which is characteristic for the very heterogeneous knowledge landscape of sociology.

When discussing the future of sociology, the year 1989 is often cited as a major turning point in the history of humankind over the last century. Dirk Kaesler [45] states that sociology as *the western science* can not ignore the crucial breakthroughs since that year. The year 1989, with its profound political, social, economic and cultural changes, has relativized many of the discipline's theoretical considerations and practical. In that respect, Nikolai Genov [46] argues that it is now clear that there is a main path of social development and this is called globalization. This process has become the most important reference point and was a homogenizing factor in the development of ideas in the 1990s.

From this perspective a consolidation effect is attributed to globalization, and the anthology 'Globalization. Knowledge and Society' by Martin Albrow and Elizabeth King [47]—distributed to the participants as part of the XII. *World Congress of Sociology* in Madrid—is designated as a prelude to a new stage in the development of world sociology. In this anthology, globalization is understood as all those processes by which the people of the world are incorporated into a single world society; global society [48].

Globalization is considered here to be a new and far-reaching thematic orientation of the sociological discipline. While the decades before the two world wars were not able to provide *a compelling vision of a world society*, as these were conducted under the banner of national interest and—in the following decades—sociology had been deadlocked despite increasing internationalization processes in political and ideological dividing lines, so is the era after 1989 characterized by diverse networking and a mutual dependence of the entire globe on structures and processes. These processes are the main cause of substantial changes in world sociology, including the emerging mutual reconciliation and amalgamation of sociological approaches and the results of sociological studies into a strong complex that makes the issue of globalization a unified point of reference. During the 1990s, sociologists blessed this rather complex issue with a great deal of attention. The fact that sociologists gave it so much attention is unique in the development of the discipline and is likely to endure [49].

World society approaches of sociology, as is the case with sociological system theory, world system analyses, and the world-polity approach, were already formulated at the time of the bipolar world order. That is to say, long before the epochal era of a ‘globalization boom’ [50] began in social sciences.

During the second half of the twentieth century, no scientific revolutions took place in sociology according to Nikolai Genov [51]. He argues that scientific paradigms were ousted and temporarily replaced—but not overturned. Moreover, despite the enormous social and cognitive challenges the discipline faces, one can only be surprised by the self-satisfaction and narcissism in some parts of the sociological community.

The development of sociological ideas in the second half of the last century concretely and clearly revealed the strong embedding of sociological knowledge in a specific social context. This embedding has in turn had an effect on the selection of problems of social reality as well as on the interpretation of these problems by sociologists. In the scientific disciplines, a reality is investigated that is characterized by continuous change as well as by the emergence of new configurations, social actors and processes. Therefore a balance of historically rooted and universal analytical concepts must be considered as an essential task of sociology.

This equilibrium of historically rooted and universal analytical concepts can be found in the global shift of sociology. While at the beginning of its institutionalization as a scientific discipline there was an *international orientation* present, a *national shift* began in sociology that characterized the decades until the end of the bipolar world order, an opposing trend now begins with the turning to a *global shift* of the discipline. The issue of a global shift in sociology in addition to the focus on the world level as a reference framework for analysis also refers to the thematic relatedness of the globalization of the discipline itself, in terms of its *self-reflection*—a major challenge but a social responsibility for sociology in the twenty-first century.

4. Global Shift in Sociology

The term *society* is still the ‘grand idea’ [52] of the sociological discipline. Martin Albrow [53] assumes that *the global* as an idea is currently not only a strategic locus in public opinion, but has also led sociologists to return to the basic theories of their discipline. The global shift includes actual progress in the thinking about society. In the entire period of the last half-century, the global has fundamentally renewed the discipline of sociology, especially in the 1990s. But if we anchor the global in the foundations of sociology, we will find a strong theoretical renewal. This has already happened, but it has yet to be recognized in its entirety [54].

The global, like society, is referred to by Martin Albrow [55] as a ‘grand idea’. In a historical retrospective, the global represented a field of comprehensive communication between people in the period from the sixteenth to the nineteenth century, thereby this was more related to territorial expansion; that is, more the conquest of space and the means of communication than the relationships of people. During this time the idea of the global was still separate from ideas of peace and international law. There is no reason why scientists should not be able to note the places and occasions on which there was a focus on the global, by analogy, as one might do for a nation-state [56].

The global serves as a *symbol of collective identity* in the concrete case of all humanity, and it is regarded as the central subject of history. In this sense, the current era is also referred to as the 'Global Age' [57–59]. The term global has gradually replaced the term international when referring to the structures and processes that affect people as a whole. The concept 'global' always applies to the planet or the earth and therefore also to the interests of all humanity. The term global/globe has two main meanings: the earth and the sphere: and it also implies that human actors live in world society, which encompasses the whole of humankind.

The various social science disciplines adopted this new terminology at a different pace. The disciplines of political science, business administration and cultural studies were the first; sociology came quite late. It is the plurality and the *well-being of a world society* which go far beyond the characteristic dispositions of globalization [60].

Sociological research can, when it develops parallel to theoretical renovation, lead to the introduction of innovations and can therefore provide groundbreaking impulses. New trends can emerge through the acquisition of imported ideas from other scientific disciplines. The reorientation of the thinking on the global and its impact on public affairs and thus on political strategy in recent years has penetrated all disciplines and is the main driving force behind the global paradigm shift. An endogenous source of modification in science is the technology of electronic data processing, which accomplishes progressions in knowledge that w*ere a subject for science fiction stories one generation ago* [61].

In the last five decades, it has been modernization as rationalization, and not the global, which has dominated the public agenda. In general, this has also had an impact on social sciences. This process was accompanied by the dominance of a paradigm in which the nation-state was equated with society. The reorientation to the global changed all this and much of today's theoretical renewal of sociology flows from the challenges globality poses to modernity [62].

Due to the extent of the challenge, society is now again in the new focus of theoretical renovation. The global has pushed society as a central and controversial concept back into the contemporary debate. In Western European countries, the discussion was limited to the fact that society was interpreted as an organized citizenship. Society in political, economic and cultural terms served the *welfare or warfare state* [63].

Due to globalization processes, areas such as culture, politics and economics were considered relatively separate from the state and ultimately detached from society. This deconstruction of the nation-state recognizes the ever-present potential to reform social relationships and to transgress boundaries addressed to the future and also in a comparative perspective. Subsequently, it was the change of orientation to the global which gave reason to look at the large number of transnational relations and to imagine what form of social order would be appropriate for a world in which national demarcations cannot provide answers to global problems. In this context, Martin Albrow [64] poses the question of whether a global society exists in the form of a world society: A world society is neither the society of the nation-state nor the sum of international relations. We can now ask whether a global society exists in the form of a world society.

For example, global civil society, visible due to the formation of transnational non-governmental organizations, is dependent on the contribution of world citizens committed to global issues. The identification takes place here with the whole of humankind and not with any nationality. It is the globality that intensifies this new identity policy [65]. Society beyond borders, networking and identity politics draw our attention to social relationships more than to autonomous social units.

Holistic natures are seen as conditioned by their relationship to other entities in a global environment, which in turn raises a number of questions about the dissolution and transformation. Exceeding the boundaries of society, we are forced to rethink social relations in general. For Asian and African traditions of social thinking, it will be possible to have a much more effective impact on global society than was possible in the Western thinking framework, which is focused on the relationship between the individual and society [66]. From this perspective, relevant contributions are expected from those regions of the world in which social relations have always been regarded as a medium in which collectivities connect. The construction of these collectivities in a global arena will be a setting of trends for the sociological discipline.

In an earlier period, sociology was preceded by social equality and the purpose of the nation-state. Today, it is the complexity of global interdependencies. In that regard Martin Albrow [67] argues that the sociology of the twenty-first century must make a vital contribution to our species and the planet we inhabit. Accordingly, we expect no less than a synoptic vision and productive theoretical work at a level as was achieved by Georg Simmel, Max Weber and Émile Durkheim in their days, but aligned with our present challenges. The task is extremely difficult, but it can be accomplished. Sociologists have the skills and technical capabilities beyond their visions to work together. There is no choice but to honour the achievements of the old masters, even if current scientists strive to make them obsolete.

At this point the reformulation and reorientation of the sociological discipline due to the demands of global reality is clearly addressed. It will be indispensable for the future to consider *classics of sociology* in their contemporary historical context, and at the same time not to be afraid to analyse to what extent they could provide relevant contributions for current challenges. If this does not happen, they must remain in the context of history and be mentioned in this setting; they would have, however, little to contribute to contemporary sociological thinking, which must be oriented towards a worldwide reference framework of the social with a simultaneously new conceptualization of society, and also at the opening up of discipline—especially beyond the familiar paths of Western Europe and North America—to other world regions. A first step towards this would be the perception of what exists in Africa, Asia, Latin America, the Arab world region etc. with regard to sociological knowledge and a common discourse of scientists globally.

There are new realities that require a modified approach. The world, and therefore also the social role of knowledge in general, as well as the related scientific discourse in sociology in particular, has as a field of the science of sociology undergone massive changes over the period of the last 100 years. It is only when a scientific work can change its appearance that it can be transformed; it grows a little further—especially when it breaks the boundaries of its immediate context, that is, its national and historical context—and becomes part of a global interpretation [68].

In view of how the social refers to the world, sociology in its historical form cannot meet a perspective on the world as a whole. It is its basic conceptual inventory which is indiscernible to world-social developments and global processes, and for this reason must be fundamentally renewed and changed. An essential part of this basic conceptual inventory is the term *society*. Sociology has conceptualized the term *society* more or less exclusively as a *nationally organized and territorialized unit* [69]. Over decades of time the concept of society was in its prevalent use no more and no less than *bounded nation-state* conceptualized [70].

The classic, and still highly influential, sociological theory designs contributed to the generalization of a very specific concept, resting on the principle of territoriality and the nation-state form of space. The question of the spatial organization of social relations found as such a clear answer. A historical specific formation—the territorial nation-state—was dehistoricized and was, as it were, a natural container in which all life takes place, institutionalized as an organizing principle of the theory of social science, without, on the other hand, becoming the object of theoretical reflection [71]. In this regard, also Immanuel Wallerstein [72] summarizes on the social science paradigms of nineteenth and twentieth century that we could not even explain why we implicitly assumed that each state has a society and every society has a state. A branch of knowledge that cannot explain such a central phenomena will inevitably be in big trouble. It is the view of sociology as *'homeland theories of society'* [73] that leads to the assumption that sociological knowledge is, despite all universalistic validity claims, essentially a regionally specific knowledge.

Conceptualizations of world society stimulate a critique of such a territorializing thinking style. In contrast to *traditional sociology*, world society approaches are a theoretical programme which tries to implement the sociology of the global as a counter-project. This requires the overcoming of the *methodological nationalism* as criticized by Ulrich Beck [74], the *zombie categories of the national view* [75] and also the *container theory of state and society* [76] as well as the development of fundamentally new conceptual terms, which meet the world as the totality of social relations.

Present sociological diagnoses have to take global reality into account, and world society approaches provide a pioneering work in this direction. These conceptualizations break with the model of *methodological nationalism*—until now long uncritically used in the discipline—by postponing questions about the spatial organization of social relations at the global level; and they break even with basic terminologies of the discipline which no longer meet social reality in the third millennium.

5. Conclusions

The bottom line of the article is structured along three main conclusions. The extent to which world society approaches represent elementary breaks with traditional thinking styles is the focus of the first conclusion. The second refers to development trends of sociology in the twenty-first century and the nation–state related paradigm of this scientific discipline. The conclusions close with the theming of the global shift of sociology and thereby refer to the pioneering work of world society theorists.

It can be stated as a *first* conclusion that it has been proved that world society approaches are a counter-project to the classics of sociology. As a conceptual term, *world (wide) society* directly points to the diminishing importance of spaces and addresses a conceptualization of *society* which is understood to be extra-territorialized. The increasing use of digital information and communication technologies for the empirical processing of sociological studies can here contribute significantly to the abolition of the spatial concept as a unit of analysis.

It is one of the greatest intellectual challenges of the present for all social science disciplines to deal with the world as a framework of culture, economics, law, politics and social reality and to use them constructively for scientific analysis. It certainly needs the courage to say what is not yet explorable since, for example, the empirical methods have not yet been developed; and that since one sits on a theory building in which the *'universal and global house of sociology'* is to a large extent revealed as a house of few countries of the world, there is still much to do in the field of sociological conceptions and theoretical approaches. At this point conceptualizations of world society can make an important contribution to the *global social responsibility* of science.

In the sociological field of world society research, nation-state myths have been disenchanted, the local is identified as global and vice versa, and the central concept of sociology—that of society, which has always been manifold and controversial within the discipline—becomes relevant again.

The *second* conclusion of the article refers to development trends of sociology, to the nation-state paradigm of sociology and the breaking thereof due to world society approaches. Here it was discussed how world society conceptualizations can make a constructive contribution to the sociology of the twenty-first century.

In the face of world society research, sociology is confronted with an often unreflected nation-state paradigm and a state-centric vocabulary, which opposes the perception of the global as a perspective. Sociological knowledge about transnational social spaces or post territorial communions or the perception of the *social world as a totality* in a normative sense, is yet to be developed profoundly.

The rise of sociology began with the emergence of the nation-state and nationalism. Therefore, society as the central object of the investigation of sociology was equated with the nation. This form of sociology, which reached its peak in structural functionalism and modernization theory, is increasingly being critically viewed and questioned in the present due to globalization processes: A new, global sociology is taking shape which is no longer oriented towards 'society', but rather towards social networks, border areas, border crossings and world society. The sociology of a nationally restricted society deviates from a post/inter/national sociology of hybrid forms, times, and spaces [77].

The subject of world society requires of many sociological issues—such as class and social structure analyses, poverty and inequality research as well as research fields of cultural sociology or political sociology—an emergence from the analytical unit of a 'nationally organized society', which is often assumed to be self-evident. On the basis of sociology, questions about social change, inequality, culture, power and domination have not become obsolete, but they have been moved into a different perspective. In particular, their importance ratio changes at the moment when these questions are referred to at the global reference level.

In this sense, 'the globe as a big idea' has transformed not only sociological theories, but also the form of sociology as a whole. Sociology, which entered the historical stage as a science of 'modern society', is on its way to constituting itself as the science of one 'social world' [78]. World society approaches to this end had already been preparing sociological discourses on the way that the discipline can enter the contemporary stage of a *social world as a unit* decades before globalization. They have set trendsetting signposts for the discipline with their theory designs which have the world as a reference framework for the *'global house of sociology'* to be established, which should openly and constructively address the social challenges of the twenty-first century.

The discourse on world society can be viewed as a seismograph of the state of current social science discourses in the face of processes of globalization and transnationalism. This seismograph shows how long inter- and transnationalism in the analysis of *society* have had a minor role in the sociological research of the so-called First World. It may be a great merit for world society sociologists from recent decades to leave the Euro- and North American centrism and to choose the global as the reference frame for the analysis. This implies, not least, the realization that the traditional empirical methods of capturing *society* are doomed to failure in the context of the global; and the traditional theoretical approaches of sociology as well as their conceptual instruments require a thorough revision.

In addition to the demonstration of theoretical and empirical challenges, the analysis of world society, themes of globalization and transnationalism, the issue of transnational social spaces and classes, the range of global inequality and questions about transnational citizenship and the extensive field of global justice are new and modern approaches of sociological research. The future will show to what extent, with this thematic selection of research approaches, the nation-state as a reference frame of analysis is abandoned and how a tension between questions of continuity and the discontinuity of sociological concepts to the analysis of globalization and transnationalization as well as world society approaches can be drawn in a convincing way.

Sociology has, due to world society approaches, some social responsibility to put forward constructive plans in relation to the *global shift* of its scientific discipline. At the moment, both the merger and the implementation of the plans are important. For sociologists, this project will be a central challenge of the twenty-first century at the *construction site of sociology*.

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Chapter 2

Social Responsibility among University Students: An Empirical Study of Spanish Samples

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Abstract

The Universidad Francisco de Vitoria (UFV) has developed an educational project that is unique in Europe which integrates social responsibility as an obligatory subject across all university courses. The goal of this course is to heighten university students' awareness of social commitment and responsibility so that all individuals gain an understanding of the ideas presented and subsequently adopt these values, making them their own and applying them in their future professional life. Our aim is to evaluate the impact of this education on our students. To do this, we used a valid, reliable tool that with a personal questionnaire, (sample size: 757 students) allowed the information to be collected at two different moments in time (pretest and posttest). The results show that the social responsibility module has a significant impact on students with the effect varying depending on the degree being studied.

Keywords: university education, social responsibility, university students, social impact, construct validity

1. Introduction

University education is more than just technical instruction to prepare students for a professional career; it should also contribute to students' overall personal development. Because of this, the syllabuses for the courses offered at the Universidad Francisco de Vitoria include a set of subjects with a humanist character aimed at fostering a series of values, attitudes and habits in students that will in future enable them to think with rigour, comprehensively understanding and analysing reality and so also be able to take personal and professional decisions through the prism of ethical responsibility.

Students cannot turn their backs on social problems that affect their surroundings. They must be prepared to provide specific, committed solutions for the common good through the exercise of their profession.

1.1. Theoretical review

This study is based on an analysis of the impact of training in Social Responsibility for University Students (SREU) and not on the impact of what is known as University Social Responsibility (USR), which focusses more on corporate, institutional or business responsibility [1].

Regarding the former, we have found studies relating to the impact of ethics education, such as the works by Pascarella, Ethington and Smart [2] that analyse the influence of universities in training humanitarian values [3], the effects of volunteering during student years [4], the role of classes in education for personal and social responsibility [5], and the promotion of gifts and talents related to social support and humanitarian advocacy [6].

In 2013 an extensive review of literature of the role of higher education in tutoring personal and social responsibility [5] was presented from which interesting conclusions can be drawn about the impact of learning about social responsibility and personal development of students in the context of the change they encounter in higher education [7].

Regarding the evaluation of students' training in social responsibility, it is necessary to cite the analysis of the efficacy of the Social Responsibility module at the UFV in relation to the students' overall development [8], the works by Larrán and others on the availability and impact of social responsibility and business ethics modules in certain courses from the field of organisation management [9], development cooperation as a methodology for teaching engineers social responsibility [10], and the analysis of challenges and opportunities that Gordon and Doyle [11] present concerning the teaching of personal and social responsibility and the transfer of education and research in the validation of the Social Responsibility for University Students construct.

In 2015, Buyolo [12] noted that of the 71 Spanish universities that had implemented the Business Management course, only 24 offered some sort of module relating to corporate social responsibility, and of this 32%, only the UFV had established continuous evaluation including the internalisation of values and aptitudes, as Echainiz Barrondo states "The important thing is not to know what is good, but to do what is good".

Other pieces of research provide models for analysing the impact of using active methodologies, like our social practices on students' learning [13], or processes for validating instruments for evaluating cooperative work, which is one of the methods we use in the social responsibility module at the Universidad Francisco de Vitoria [14].

1.2. Subject matter

Our goal with the Social Responsibility module is not to try to teach the value of social commitment but instead to help students "discover it themselves" [15] so that the value of SREU is not imposed from outside as something alien and external.

In light of this, this module is approached from a broad perspective that integrates three different and complementary areas for development: the classroom, social practices and mentoring, with the idea that students will connect the theory from the classroom and their experience of social practices with their everyday lives.

The goal of the classroom-based lessons is to inspire students to reflect on the meaning of social responsibility, starting with respect for human dignity.

The objective of the social practices is to provide personal experience of the possibility of doing something concrete to contribute to improving society. Therefore, each student is assigned a social project he or she must participate in throughout the whole year in cooperation with an NGO.

Through the mentoring, we aim to illuminate the students' personal experience from the practices to link it to their current university experience and professional future.

To measure the level of change the student underwent after taking this module we prepared a scale to evaluate social responsibility.

The first step in constructing the scale to evaluate the level of SREU was to determine the features that define this variable. To do this, the information obtained through personal monitoring of students who had taken the module in previous years was used.

Once the dimensions of the SREU concept were defined, the items on the scale were established.

The resulting survey instrument (ANNEXE 1) is structured around the four dimensions of the SREU construct [16].

- Commitment to others and my surroundings
- Personal discovery of values
- Education in social responsibility
- Approaching my professional activity from a position of social commitment
- Opinion item

This provides an overall evaluation of the student's level of social responsibility. This item is presented as an opinion variable. A good measurement of the level of commitment and social responsibility of university students must result in high and significant correlations between each of the items and the opinion item, as well as between average of the items and the opinion item.

2. Method, hypothesis and results

2.1. Goals

The general goal of this study is to evaluate the impact of taking the SREU module on students from a variety of university courses, using a reliable and valid tool.

The specific goals are:

- To measure whether different courses have an impact.
- To find possible common patterns between courses regarding the factors that comprise SREU.

2.2. Hypothesis

There are three main hypotheses to compare in this study. They relate to three types of possible impact: (1) the module has a general impact on the students; (2) the different dimensions that make up SREU have different impacts on the students; and (3) the module has a different impact on the students in each course.

3. Method

3.1. Instrument

The proposed measurement instrument is based around four dimensions and 21 items as stated above. The reliability and validity studies for the instrument used show rates of internal consistency that are more than acceptable or satisfactory (between 0.85 and 0.92, overall reliability) and the exploratory and confirmatory factor analyses indicate the presence of a single construct, based on three correlated dimensions, explaining 42.38% of the variance. The principal components analysis procedure was used as a factor extraction method. The direct Oblimin factor rotation method was used.

The indices analysed to evaluate fit (Chi-squared/degrees of freedom, TLI, CFI and RMSEA) show that this is the model with the best fit.

A detailed study into the reliability and validity of this instrument is provided in García Ramos et al. [17].

3.2. Population, sample and data collection process

The study population comprises second-year students at the UFV who are taking this module. A total of 639 students were enrolled in this module in the 2012–2013 academic year. The sample was selected through a quota sampling process, taking the course as the main characteristic, in which the sample should be similar to the study population, second year students at the UFV.

The information was collected using an individual survey. The field work was performed two times: (1) in October 2012 it was performed on the students when teaching of the module had recently started (pretest) and (2) in May 2013 it was performed a second time when the students had completed the module (posttest). The samples from the pretest and the posttest are independent as the questionnaires are anonymous and the individuals who answered the pretest and posttest are not identified to make comparison of the samples possible. **Table 1** shows the technical details of the sampling.

A total of 757 surveys was eventually obtained: 404 surveys in the pretest (63.2% of the population) and 353 surveys in the posttest (55.2% of the population). The following profile of the sample was subsequently identified (**Table 2**).

3.3. Data analysis process

The SPSS version 21 statistics program was used to codify and analyse the data (SPSS Inc., Chicago, USA). Descriptive analyses were performed (central tendency measures and standard deviation). To compare the significant differences at the statistical level between the two moments (before and after taking the module), Student's t-test for independent samples and one factor and two factor Analyses of Variance (ANOVA) parametric tests were used to analyse the differences. The assumptions of independence of the data (normality and homoscedasticity) were tested. Student's t-test was performed, without distinguishing between courses, on an aggregate dimension (the sum of the four dimensions). One-factor analyses of variance (ANOVA) were performed on each of the four dimensions and on the opinion item. For these six quantitative variables, two-factor ANOVA analyses were performed to evaluate the effects of the two possible sources of variance, as well as the interaction between them: (A) belonging to the pretest or posttest groups and (b) belonging to a particular course. One-factor ANOVA analyses were also performed on the four dimensions and the opinion item for each of the courses. A confidence level of 95% or higher was used in almost all of the analyses.

Characteristics	Survey
Universe	Second year students at the UFV who are taking the social responsibility module
Sampling process	By quotas Stratification by course
Data collection	Individual survey of the students in class
Sample size	404 (pretest)/353 (posttest) surveys collected
Sampling error	±3%
Confidence level	95% for the most unfavourable case p = q = 0.5
Field Work	November 2012 (pretest) and May 2013 (posttest)

Table 1. Technical details of the research project.

Courses	Pretest		Posttest	
	N	%	N	%
Business Management (BM)	31	7.67	24	6.80
Biotechnology (BIO)	41	10.15	41	11.61
Sport and Physical Activity Sciences (SPPA)	63	15.59	46	13.03
Audiovisual Communication (AUD)	37	9.16	49	13.88
Law (LAW)	20	4.95	20	5.67
Design and Fine Arts (DES + FA)	39	9.65	29	8.22
Pre-school and Primary Education (EDU)	41	10.15	21	5.95
BM+ Law (Excellens) (EXC)	9	2.23	10	2.83
Physiotherapy (PHY)	38	9.41	37	10.48
Computer science (COM)	15	3.71	15	4.25
Marketing (MAR)	10	2.48	11	3.12
Journalism (JOU)	49	12.13	34	9.63
Marketing (MAR)	11	2.72	16	4.53

Table 2. Profile of the sample.

4. Results

4.1. Descriptive statistics

Tables 3 and **4** show the descriptive statistics of the dimensions of the pretest and posttest for the different courses. The scores for each dimension were calculated as the sum of the items they comprise.

All of the courses have an average social commitment level of over 4.1 in all dimensions, in both the pretest and the posttest, with a few exceptions.

In general, on all of the courses, the average level of satisfaction for each dimension is higher in the posttest than the pretest, apart from a few minor exceptions.

Therefore, the descriptive results seem to indicate possible differences of means between the pretest and the posttest for almost all of the courses. These preliminary results require the use of inferential data processing methods that make it possible to decide whether the differences are significant or not.

4.2. Comparison of mean difference for the evaluation of general impact

To test the general impact hypothesis between the pretest and posttest, the aggregate dimension as the sum of the four dimensions was calculated and Student’s t test was performed. The

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Course													
		BM (PR)	**BM (PO)**	**BIO (PR)**	**BIO (PO)**	**SPPA (PR)**	**SPPA (PO)**	**AUD (PR)**	**AUD (PO)**	**LAW (PR)**	**LAW (PO)**	**DES + FA (PR)**	**DES + FA (PO)**
	N	31	24	41	41	63	46	37	49	20	20	39	29
DIM 1	$\overline{X}$	4.3	4.4	4.4	4.7	4.1	4.6	4.1	4.7	3.9	5.3	4.4	4.8
	S	0.71	0.72	0.77	0.77	0.86	0.61	0.65	0.60	0.70	0.55	0.66	0.60
	Mode	3.8	4.0	4.2	4.6	4.4	4.4	4.0	4.6	4.0	5.4	4.6	5.2
	Mdn	4.4	4.5	4.4	4.6	4.2	4.6	4.2	4.8	4.0	5.4	4.6	4.8
DIM 2	$\overline{X}$	4.5	4.6	4.8	5.1	4.5	4.9	4.6	5.0	4.4	5.5	4.8	5.2
	S	0.72	0.85	0.81	0.78	0.77	0.71	0.67	0.65	0.80	0.42	0.70	0.66
	Mode	4.2	5.6	5.6	5.4	4.6	4.2	4.6	4.8	4.0	5.8	5.2	5.0
	Mdn	4.6	4.7	5.0	5.2	4.6	4.8	4.6	5.0	4.4	5.6	4.6	5.2
DIM 3	$\overline{X}$	4.1	4.5	4.2	4.5	4.1	4.5	3.9	4.3	4.1	5.4	4.0	4.2
	S	0.98	0.75	1.11	1.14	0.99	0.84	0.92	0.83	0.73	0.39	0.91	0.73
	Mod.	3.2	4.6	4.4	4.8	4.6	4.8	3.8	4.8	3.0	5.6	3.2	4.4
	Mdn	4.0	4.6	4.4	4.8	4.2	4.5	4.0	4.4	4.1	5.5	4.2	4.4
DIM 4	$\overline{X}$	4.4	4.6	4.6	5.0	4.5	4.8	4.5	4.7	4.8	5.5	4.8	4.8
	S	0.86	0.96	1.03	0.71	0.92	0.69	0.68	0.66	0.65	0.34	0.81	0.73
	Mod.	3.8	3.6	4.6	4.6	4.8	4.4	4.4	4.4	5.4	5.2	5.6	5.0
	Mdn	4.4	4.4	4.8	5.0	4.6	4.8	4.4	4.8	4.8	5.5	4.8	5.0

Table 3 Statistics for dimensions by course (pretest (PR) and posttest (PO)).

result of the comparison indicates that there is a significant difference in favour of the posttest. See **Table 5**.

A factorial analysis of variance was also performed. This model evaluates the individual and joint effect of two or more factors (course and group) on a quantitative dependent variable (item 21 or dimension).

In this case, it makes it possible to establish whether the interaction between the group factors (pretest/posttest) and course affects the dependent variable.

If the p-values are below 0.05, this indicates that the groups defined by pretest and posttest have significantly different average results and that the average results between courses are also significantly different. The information on the effect of the group*course interaction indicates that the differences in the results with the provision of the social responsibility module that appear between the pretest and the posttest, in favour of the posttest, are not the same between courses, or, in other words, the differences between courses are not the same in the two groups (pretest and posttest). See **Table 6**.

Course															
		EDU (PR)	EDU (PO)	EXC (PR)	EXC (PO)	PHY (PR)	PHY (PO)	INF (PR)	INF (PO)	MAR (PR)	MAR (PO)	JOU (PR)	JOU (PO)	MAR (PR)	MAR (PO)
	N	41	21	9	10	38	37	15	15	10	11	49	34	16	11
DIM 1	$\overline{X}$	4.9	5.3	4.6	4.8	4.3	4.8	3.3	4.1	4.5	5.3	4.5	4.8	5.0	3.9
	S	0.65	0.47	0.43	1.03	0.87	1.04	1.27	1.04	0.99	0.48	0.86	0.81	0.93	0.52
	Mode	5.0	5.2	4.2	5.0	3.6	4.6	2.6	4.8	4.8	5.4	4.8	4.6	4.6	3.6
	Mdn	5.0	5.2	4.6	5.1	4.4	5.0	3.2	4.6	4.8	5.4	4.6	5.0	4.9	3.6
DIM 2	$\overline{X}$	5.2	5.6	5.2	5.1	4.9	5.0	3.6	4.2	4.9	5.4	4.9	5.1	5.5	4.7
	S	0.57	0.36	0.61	0.95	0.85	1.04	1.17	0.97	0.82	0.37	0.85	0.73	0.77	0.47
	Mode	4.6	5.6	4.6	6.0	5.4	6.0	2.6	4.4	3.6	5.4	5.8	6.0	5.6	3.8
	Mdn	5.2	5.6	5.4	5.3	5.0	5.2	3.6	4.4	5.3	5.4	5.0	5.2	5.6	4.6
DIM 3	$\overline{X}$	4.6	5.2	4.6	4.7	4.0	4.7	3.1	3.8	4.3	5.2	4.2	4.6	4.9	3.4
	S	1.03	0.52	0.54	1.00	0.99	1.04	1.28	1.21	0.84	0.46	0.93	1.05	1.16	1.01
	Mode	5.0	4.6	4.4	4.6	3.0	4.8	4.0	4.4	4.2	5.4	4.0	4.6	5.4	2.8
	Mdn	4.8	5.2	4.8	4.8	4.1	4.8	2.8	4.2	4.2	5.2	4.2	4.6	5.4	3.0
DIM 4	$\overline{X}$	5.0	5.5	5.0	5.0	5.0	5.0	3.7	4.3	4.7	5.3	5.1	5.0	5.2	3.9
	S	0.76	0.34	0.68	1.21	0.77	1.06	1.17	1.10	0.99	0.42	0.70	0.89	0.89	0.65
	Mode	6.0	5.6	4.4	6.0	4.8	6.0	2.4	4.2	4.8	5.2	4.8	6.0	5.6	3.2
	Mdn	5.2	5.6	5.2	5.5	5.0	5.2	3.4	4.4	4.8	5.2	5.2	5.2	5.4	3.6

Table 4. Descriptive statistics for dimensions by course (pretest (PR) and posttest (PO)).

		Levene's equality of variances test		T test for equal means			Significant direction
		F	**Sig.**	**t**	**df**	**Mean difference**	
DIM TOT	equal variances	.166	.683	−7.111	717	−8.00842***	In favour of posttest
	No equal variances			−7.114	711.224	−8.00842	

***Significant difference at 1% ($p < 0.01$)

Table 5. Results in the aggregated dimension (Student's t-test).

4.3. Comparison of mean difference for the evaluation of the impact by dimension

A one factor Analysis of Variance was performed with the opinion item (item 21) and with dimensions 1, 2, 3 and 4. The results indicate that the differences are significant in favour of the posttest. See **Table 7**.

The two-factor analyses of variance reveal significant differences in all of the dimensions and in the item criterion in favour of the posttest, as well as significant differences between courses.

Origin	Type III sum of squares	df	Root mean square	F	Significant direction
Group	10160.547	1	10160.547	46.732	In favour of posttest***
Course	13064.114	10	1306.411	6.009	In favour of posttest***
Group * Course	4146.474	10	414.647	1.907	In favour of posttest**

R squared = .186 (adjusted R squared = .156)
**Significant difference at 5% ($p < 0.05$)
***Significant difference at 1% ($p < 0.01$)

Table 6. Results for the aggregated dimension (two-factor ANOVA).

		Sum of squares	df	Root mean square	F	Significant direction
ITEM 21	Inter-group	59.332	1	59.332	53.005	In favour of posttest***
	Intra-group	838.415	749	1.119		
	Total	897.747	750			
DIM 1	Inter-group	1139.147	1	1139.147	69.129	In favour of posttest***
	Intra-group	12326.001	748	16.479		
	Total	13465.148	749			
DIM 2	Inter-group	568.687	1	568.687	34.964	In favour of posttest***
	Intra-group	12019.931	739	16.265		
	Total	12588.618	740			
DIM 3	Inter-group	1095.207	1	1095.207	45.159	In favour of posttest***
	Intra-group	18068.073	745	24.252		
	Total	19163.280	746			
DIM 4	Inter-group	352.284	1	352.284	19.081	In favour of posttest***
	Intra-group	13754.415	745	18.462		
	Total	14106.699	746			

***Significant difference at 1% ($p < 0.01$)

Table 7. Results for the opinion item and for the dimensions (one-factor ANOVA).

The cross effects between course and group (pretest/posttest) are significant. The only dimension that shows a non-significant interaction between courses and pretest and posttest is dimension 2. **Tables 8–12** show these results.

4.4. Comparison of mean difference for the study of impact by course.

Student's t-comparisons for mean differences were performed between the pretest and posttest (independent samples). Prior to this, Levene's test for matching variables was performed.

Table 13 shows the results obtained from the analysis of significance of the mean difference by course.

	Type III sum of squares	df	Root mean square	F	Significant direction
COURSE	35.144	10	3.514	3.209	In favour of posttest***
GROUP	59.409	1	59.409	54.243	In favour of posttest***
COURSE * GROUP	22.579	10	2.258	2.062	In favour of posttest**

R squared = .158 (adjusted R squared = .128)
**Significant difference at 5% ($p < 0.05$)
***Significant difference at 1% ($p < 0.01$)

Table 8. Results for the opinion item (two-factor ANOVA).

	Type III sum of squares	df	Root mean square	F	Significant direction
COURSE	716.675	10	71.668	4.542	In favour of posttest***
GROUP	1031.545	1	1031.545	65.374	In favour of posttest***
COURSE * GROUP	399.861	10	39.986	2.534	In favour of posttest***

R squared = .193 (adjusted R squared = .165)
***Significant difference at 1% ($p < 0.01$)

Table 9. Results for dimension 1 (two-factor ANOVA).

	Type III sum of squares	df	Root mean square	F	Significant direction
COURSE	1022.919	10	102.292	6.608	In favour of posttest***
GROUP	429.853	1	429.853	27.767	In favour of posttest***
COURSE * GROUP	224.897	10	22.490	1.453	

R squared = .165 (adjusted R squared = .135).
***Significant difference at 1% ($p < 0.01$)

Table 10. Results for the dimension 2 (two-factor ANOVA).

	Type III sum of squares	df	Root mean square	F	Significant direction
COURSE	1071.702	10	107.170	4.639	In favour of posttest***
GROUP	1028.217	1	1028.217	44.505	In favour of posttest***
COURSE * GROUP	379.556	10	37.956	1.643	In favour of posttest*

R squared = .156 (adjusted R squared = .127)
*Significant difference at 10% ($p < 0.10$)
***Significant difference at 1% ($p < 0.01$)

Table 11. Results for the dimension 3 (two-factor ANOVA).

	Type III sum of squares	df	Root mean square	F	Significant direction
COURSE	1117.229	10	111.723	6.454	In favour of posttest***
GROUP	428.835	1	428.835	24.773	In favour of posttest***
COURSE * GROUP	342.801	10	34.280	1.980	In favour of posttest**

R squared = .149 (adjusted R squared = .120)
**Significant difference at 5% (p < 0.05)
***Significant difference at 1% (p < 0.01)

Table 12. Results for dimension 4 (two-factor ANOVA).

Course	Opinion item	DIM 1	DIM 2	DIM 3	DIM 4
BM	**			*	
BIO		*			**
SPPA	***	***	*	*	*
AUD	**	***	**	*	
LAW	***	***	***	***	***
DES + FA	*	**	**		
EDU		***	***	***	***
BM + LAW (EXC)					
PHY	*	**		**	
INF		*			
MAR		**		**	
JOU		*			
MAR	***	***	**	***	***

*Significant differences at the 0.10 level of significance
**Significant differences at the 0.05 level of significance
***Significant differences at the 0.01 level of significance

Table 13. Summary of significant differences in each dimension by course.

At a 10% significance level, the SREU module appears not to have any effect on BM + Law (Excellens). With Computer Science and Journalism students, the teaching of the SREU module seems to have a significant impact at a 10% level. With the Marketing, SPPA and Law courses there seems to be an impact on the students in all of the dimensions and in the opinion item.

Dimensions 1 (Commitment to others and my surroundings) and 3 (Education in social responsibility) seem to have the greatest impact among the students, especially in dimension 1. Dimension 4 (Approaching my professional activity from a position of social commitment) is the one that generally has the smallest impact among the students.

The social responsibility module appears to have an impact on students' commitment to others and their surroundings (DIM 1), except in the BM courses and the BM + LAW (Excellens) double degree. Discovering values (DIM 2) seems to be reinforced after taking the module in courses that are related to creativity such as Audiovisual Communication, Marketing, Fine Arts and Design and Pre-school and Primary Education. There also appears to be an impact in courses such as Law and Sport and Physical Activity Sciences where values play a very important role in the exercise of the profession. This hypothesis is reinforced by the impact that approaching their professional activity from a position of social commitment (DIM 4) has for the students. This impact is also present among students of Biotechnology, Teaching and Marketing.

For students of Business Management, Audiovisual Communication, Physiotherapy, and Fine Arts and Design, while the experience of taking the module appears not to have had an impact in all dimensions, at a general level it does seem to have had an impact on their capacity for commitment and social responsibility. Students of teaching did experience a change in commitment, in discovery of values (DIM 2), in training in social responsibility (DIM 3) and in approaching their professional activity from a position of social commitment (DIM 4). They do not however seem to experience a change at a general level in their commitment and social responsibility. This could be explained by the students being capable of identifying each nucleus or dimension separately, but at an overall level believing that their commitment and responsibility has not changed significantly.

5. Discussion of results and conclusions

The Student Social Responsibility module delivered at the UFV seems to have a positive general impact on the students. The results show significant differences in the aggregated dimension (general) made up of students' commitment to others and their surroundings, personal discovery of values, training in social responsibility and approaching professional activity from a position of social commitment. This demonstrates its impact on students' capacity for commitment and on their social responsibility after the experience of taking the module. It also seems to be clear that this impact differs between courses.

The analysis by dimensions indicates that each of the dimensions, separately, has an impact on the students. The students' commitment, discovery of values, training in social responsibility and approaching professional activity from a position of social responsibility are reinforced after taking the module. Also, in general terms, their commitment and social responsibility improve after taking the module. There is a difference in impact after taking the module depending on the course, except in personal discovery of values where no significant differences were found in the comparison between the pretest and posttest on the different courses.

The impact by course of the module shows that the results do differ depending on the course.

The only course where taking the SREU module does not appear to have an impact is BM + Law (Excellens). In the Journalism, Law and SPPA courses, taking the module has a positive impact on students' commitment to others and their surroundings, values, social responsibility, professional approach and overall social commitment.

Taking the module appears to have a positive impact in virtually all of the courses (except BM and BM + Law) in students' commitment to others and their surroundings. Nonetheless, the professional approach from a position of social commitment after taking the module only seems to be positively affected in Biotechnology, SPPA, Law, Education and Marketing.

In summary, the results indicate that taking the social responsibility module has a significant impact on students from the UFV in general and by dimensions and courses but that this impact differs by course.

A. Appendices

SREU questionnaire (Values from 1 to 6 with 1 indicating minimal agreement and 6 maximum agreement)

Dimension 1. Commitment to others and my surroundings

1. I have an overview of the current situation of the world and I am conscious of the urgent need for sustainable development.

2. This consciousness increases my interest as a student in contributing to improving my immediate environment.

3. I ask myself what my personal position is faced with social injustice and other people's suffering.

4. I put into practice my ability to serve and my commitment to immigrants, disabled people, homeless people, deprived children, the elderly, etc.

5. I think that one of my obligations as a person is to help others, from a position of social commitment.

Dimension 2. Personal discovery of values

6. I believe that social commitment is based on recognising and respecting the dignity of every individual.

7. I recognise the need to open myself up to others, put myself in their place and find common good above individualistic interests.

8. I believe that personal change is a necessary prior step to change the world around me.

9. I have personally experienced the happiness that comes from service and solidarity.

10. I believe that the experience of giving oneself to others is helpful for discovering personal values.

Dimension 3. Education in social responsibility

11. I believe that being a student helps me be aware of the importance of social responsibility.

12. I have reflected on the importance of not remaining indifferent to or detached from what happens to other people.

13. I believe that the more I study in-depth and work hard at university, the more I can contribute to social change.

14. The training I receive at university will contribute in practice to increasing my level of social responsibility.

15. I believe that social responsibility is a competence that should be worked on at university.

Dimension 4. Approaching my professional activity from a position of social commitment

16. I approach performing my future professional activity wth a service vocation directed at the common good.

17. I believe that good professional practice requires commitment, team work, perseverance, empathy, tolerance, integrity and respect.

18. I think my personal fulfilment and happiness rely on me being a professional committed to the continuous improvement of society.

19. I believe that the action of a good professional has an impact on his or her immediate surroundings and on other areas of greater transcendence.

20. I think it is realistic to say that social commitment is possible through one's professional activity.

Opinion item

21. To summarise, evaluate how much you feel committed and socially responsible at this time.

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Section 2

Some Critical Views of Social Responsibility within the Industry Sector

Chapter 3

Professional Social Responsibility in Engineering

Angela R. Bielefeldt

Additional information is available at the end of the chapter

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Abstract

This chapter presents a range of viewpoints on the social responsibilities of the engineering profession. These social responsibilities of the engineering profession are in many ways synonymous with macroethics. Analysis of the engineering codes of ethics and educational requirements are used to support these arguments, and are compared with the perceptions of engineering students and working engineers. The social responsibilities of engineers include human safety and environmental protection in engineering designs. But it may extend further to include pro bono work and considerations of social justice issues. Research has found that perceptions of the professional social responsibilities of engineers vary across different countries/cultures, engineering disciplines (e.g., mechanical versus environmental engineers) and by gender. The impact of engineering education and broader college experiences on evolving notions of professional social responsibility will be described, in particular community engagement. Concerns about decreasing commitment to socially responsible engineering among college students, a so-called "culture of disengagement" will be presented, as well of the interaction of students' social goals for engineering and leaving engineering studies.

Keywords: professional social responsibility, individual social responsibility, ethics, environment, gender, higher education, pro bono, safety, social justice

1. Introduction

Social responsibilities are a part of all professions. The profession of engineering is no different. However, there are a diversity of opinions within the engineering profession about what specifically these social responsibilities entail, differing among sub-disciplines within engineering and across different countries and cultures. The process by which an individual develops their feelings toward their professional social responsibilities as engineers, and how these values change over time, have been examined. This chapter will highlight the array of opinions and recent research into these areas.

2. Social responsibilities of the engineering profession

The engineering profession has a variety of ethical responsibilities to society and the environment. This field of inquiry has recently been termed macroethics [1]. But these professional social responsibilities may be in tension with the business side of engineering [2]. The majority of engineers work for businesses, whose primary motivation is often profit and corporate stockholders, rather than societal impacts. Luckily, this has begun to change based on movement toward corporate social responsibility (CSR) and realizations that companies can thrive economically while considering social and environmental impacts (the triple bottom line). CSR means that companies commit to principles of accountability to community stakeholders, customers, suppliers, employees, and investors. CSR often embraces ideas of sustainability, including human rights and environmental issues, as well as a chain of responsibility and duty of care. Engineering-focused companies often make their commitments to CSR publicly available (e.g., Bechtel [3]).

The characterization of engineering as a profession is also somewhat in tension. Individual licensing of engineers promotes the notion of profession, but industrial exemptions in the licensing laws somewhat erode this independence from employers [4]. Zhu and Jesiek [5] also question whether engineering is a profession in China, based on the lack of an explicit ethical code. It becomes clear when exploring the engineering profession that it should not be viewed as homogeneous, but rather consider that there are distinct cultures in this regard among different sub-disciplines and among countries.

This section presents a few sub-topics related to social responsibility in engineering: human safety, environmental protection and sustainability, pro bono work, social justice, and diversity. The extent to which these elements are included in professional codes of ethics, bodies of knowledge, and requirements for educating engineers are considered to reflect commonly held beliefs related to the social responsibilities of the engineering profession. Further, what a professor chooses to teach engineering students in regards to professional social responsibility has been interpreted as endorsement of the relevance of the topic to the engineering profession. For some topics there is general agreement across engineering sub-disciplines and individuals, while other social responsibilities are being actively debated.

2.1. Human safety

Public trust in engineering requires that the profession considers its impacts on human safety. There is widespread consensus in the codes of ethics of engineering professional societies worldwide that engineering has a primary duty to protect public safety, health, and welfare [6]. Engineering-related failures or problems that result in injuries or death are often front-page news (e.g., levee failures in New Orleans, interstate bridge collapse in Minnesota, ignition switches in cars) [7, 8]. It is of concern that the accumulated impact of frequent news-worthy incidents may over time erode public trust in engineering.

Although generally "bundled," health, safety, and welfare each have particular nuances. Vesilind [9] notes that there may be instances when these three elements differ, both in fact and among the perceptions of various groups within the public. Further, the public should not be viewed as a monolith, but rather engineers need to be aware of "diverse publics" with different needs and goals [10, 11].

Health is generally characterized as being able to function physically without pain, and may also include mental soundness. Promoting health is a direct goal of biomedical engineering. Environmental and civil engineers are tasked with providing clean drinking water and preventing the spread of toxic chemicals via air, water, and soil. Chemical engineering is involved in manufacturing medicines, as well as pesticides and other chemicals that may have toxic effects. Thinking specifically about health-related issues is perhaps less prevalent in other engineering disciplines. One challenge is the uncertainty that surrounds what is in fact protective of human health, given incomplete toxicological information and difficulties evaluating chronic effects (e.g., cancer). Different countries have different paradigms regulating the development, distribution, and use of new chemicals with regards to the information that is required on human health effects, with some taking a more precautionary approach [12]. Further, US drinking water regulations take into account both human health and treatment costs. Overall, engineers may disagree on what conditions sufficiently protect human health.

Safety is associated being protected from physical injuries or death, again considering risks. Thus, civil engineering infrastructure that will be safe in the face of hurricanes or earthquakes, construction engineering to protect on-site workers, mechanical engineering of cars to protect occupants during crashes, etc. Other engineering disciplines are also critically important to safety but as sub-systems may garner less attention (such as software engineering for computer controls or electrical engineering). However, public safety broadly applies to all engineering disciplines. The International Education Association knowledge profile for a Washington Accord Program includes "comprehension of… the professional responsibility of an engineer to public safety" [13]. Disciplinary differences within engineering in the extent that students are taught about safety in their courses were found in a study of engineering educators; among ~1400 survey respondents (96% from institutions in the US), 44% taught engineering/computing students about safety in their courses. However, this varied from 76% in chemical engineering to 26% in computing [14]. Safety is included explicitly as a cognitive "cross-functional" outcome within the Chemical Engineering Body of Knowledge [15].

Welfare relates to overall well-being, potentially inclusive of happiness, health, material wealth, and feelings of security. Thus, welfare is more subjective than health or safety, and is correspondingly harder to measure. While protection of human or public welfare is a common statement in US codes of engineering ethics [16, 17], this term is not included in some international ethics codes [18–20]. The Australia code uses the term "wellbeing" in place of welfare [18]. The Royal Academy of Engineering's (RAE) Statement of Ethical Principles [20] includes "public good," separate from the "health and safety" paramountcy clause. The Chemical Engineering Body of Knowledge [15] lists "concern for public welfare" among its affective domain outcomes. It is clear that engineers may have different notions of welfare than individuals within the public. Vesilind [9] gives the examples of engineers reducing speed limits on highways to 55 miles per hour to provide increased safety, but having the majority of the public believe their overall welfare was better served by higher limits that enabled them to reach their destinations more efficiently.

There has been a recent debate about how engineers can best serve this most basic mandate to protect human health and safety. One environmental scientist/engineer, Sedlak, accused others of "crossing the line" from dispassionate researcher to being activists [7]. Sedlak (trained as an environmental scientist, but a professor of civil and environmental engineering for over 20 years) called into question Prof. Marc Edwards (MS/PhD civil engineering) and his involvement in the Flint, Michigan, lead crisis, and Daniel Carder (BS/MS mechanical engineering) who helped expose the Volkswagen emission problem. Edwards and Carder likely perceived it as their social responsibility as engineers to uphold the preeminent requirement to protect human health and safety [21, 22], and acted in compliance with the engineering codes of ethics to expose ethical wrong-doing (e.g., ASCE Canon 1d [17]). In response to Sedlak's editorial, a number of individuals shared differing views on the professional responsibilities of environmental engineering and science as related to the public [23–28]. There are perhaps differences in the social responsibilities of engineers and scientists, and the extent to which individuals identify with these disciplines ([24] written by a licensed professional engineer, [36] a Board Certified Environmental Engineer, [25, 27] members of the National Academy of Engineers, [23, 25, 28] degrees in chemistry). An individual's personal identity with respect to their profession may be significant in how they perceive their social responsibilities.

2.2. Environment and sustainability

Engineering codes of ethics include environmental protection among professional social responsibilities (**Table 1**), with the exception of some specialized sub-disciplines (biomedical and aerospace engineering). "Comprehension of the impacts of engineering activity: … environmental" is one of the knowledge outcomes of a Washington Accord Program [13]. Environmental considerations in the engineering design process have also been explicitly required for accredited engineering degrees under ABET (Criterion 3, Outcome 2 [36]). Despite widespread inclusion in codes of ethics and professional education requirements, environmental protection issues do not appear to be an equally prevalent focus of different disciplines within engineering. In a study of engineering educators, an average of 32% of the ~1400 survey respondents taught engineering/computing students about environmental issues, ranging from a high of 76% in environmental engineering to a low of 6% in computing [14]. Among 180 engineering educators in the study by Romkey [37], the average implementation of "I encourage students to consider the potential environmental impact of technology" was 2.49 (where 2 = sometimes and 3 = often on a 1–4 scale). Internationally, commitments to environmental protection are generally considered to be somewhat stronger in the EU versus the US.

Discipline(s)	Country/countries	Environmental protection	Sustainability or sustainable development
Engineering [16]	USA	Yes	Yes
Engineering [20]	UK	Yes	(Succeeding generations, natural resources, public good)
Engineering [18]	Australia	Yes	Yes
Engineering [29]	The Netherlands	Yes	(Long term effect on society and/or environment)
Engineering [19]	New Zealand	Yes	Yes
Engineering [30]	India	Yes	No
Aerospace [31]	USA	No	No
Biomedical [32]	Global	No	No
Chemical [33]	USA	Yes	No
Civil [17]	USA	Yes	Yes
Electrical [34]	Global	Yes	Yes
Mechanical [35]	USA	Yes	Yes

Table 1. Inclusion of environmental protection and sustainability responsibilities in the code of ethics from different disciplines and countries.

Engineers' social responsibility for environmental protection may originate from different ethical frameworks [38]. From an anthropocentric framework, one may simply understand that preservation of the environment is ultimately self-preservation for human life. Alternatively, from a biocentric perspective one may recognize the intrinsic right to life of all organisms on the planet. The environment and ecology may be viewed to have distinct value, beyond that of maintaining human existence.

A more limited sub-group of countries and engineering disciplines include sustainability and/or sustainable development within their code of ethics (**Table 1**). Australia's code shows a commitment to sustainability in the first sentence of the preamble statement, "use of knowledge and skills for the benefit of the community to create engineering solutions for a sustainable future," and "promote sustainability" is one of the four key statements of ethical practice [18]. In fact, the mandate to protect the "health, safety and wellbeing of the community" is placed under the heading of promoting sustainability. Sustainability knowledge or abilities are included as stand-alone outcomes within the bodies of knowledge for US chemical, civil, environmental, and professional engineers [15, 39–41]. Sustainable design and development as a social responsibility of engineers has been endorsed by many scholars around the globe [42–45].

One issue may be the lack of consensus on the meaning of the term sustainability or sustainable development. In general, sustainability includes considerations of both current conditions and future generations, crossing environmental, societal, and economic elements. Sustainability is included in the educational requirements for engineers under the Washington Accord outcomes [13]. In contrast, sustainability is not explicitly required in engineering education under ABET, which accredits the majority of the programs in the US and additional programs across 30 countries. Sustainability is mentioned as a potential consideration in the engineering design process under both the old ABET EC2000 criteria and the new requirements [36, 46]. The new requirements do include considerations of "global, economic, environmental, and societal contexts" within the ethics outcome, but these considerations might be primarily immediate versus long term. Interestingly, more faculty indicated that they teach engineering/computing students about sustainability (42%) as compared to environmental impacts (32%), ranging from 74% in environmental engineering to 15% in biomedical engineering [14].

2.3. Pro bono

The idea of pro bono work is that professions should donate some of their technical expertise to individuals or organizations unable to pay for those services. This can be providing services for free or at a reduced rate. While this is commonplace in professions such a law and medicine [47], the idea just seems to be starting to grow in engineering and is by no means universal [6]. The American Society of Civil Engineers (ASCE) first approved a policy statement on pro bono services in 1996 [48], encouraging engineers *as individuals* to provide services to charitable causes and in emergency situations; however, its real purpose appears directed at liability issues and indemnification. The National Society of Professional Engineers (NSPE) has a policy statement pertaining to liability of "good samaritans" who volunteer their engineering services upon request in times of crisis [49].

Within the codes of ethics for engineering, hints of commitment to pro bono service can be found. The NSPE code [16] states that "Engineers are encouraged to participate in civic affairs; career guidance for youths; and work for the advancement of the safety, health, and well-being of their community"; a similar statement is found in [31]. The ASCE code [17] states that "engineers should seek opportunities to be of constructive service in civic affairs and work for…their communities." However, the mandate for pro bono activity is unclear.

Riley and Lambrinidou [11] suggest that pro bono service should comprise at least 5% of the employed hours of engineers. Interviews with working engineers found that some engineering companies allow donating standard work hours to engineering service, such as to groups like Engineers Without Borders (EWB)-USA [50]. Moulton [51] asserts, "An enormous amount of software development/support is done at low or no cost, for example, public help forums and much of the work toward Open Source/Linux/GNU etc." (p. 334).

In a study of pro bono engineering in Australia in 2011 [52], a high demand for pro bono engineering, reasons for engaging in pro bono activities, benefits from pro bono activities, and challenges were documented. A sense of professional responsibility was identified among the motivations for participating in pro bono activities in engineering. While providing rich information and detailed case studies, the research left unanswered questions such as what percentage of engineering companies or individuals engage in pro bono activities, and to what extent (hours per year).

In a small study (methods described in [8]), working engineers were asked in a survey to rate their agreement with the statement "Engineering firms should take on some pro bono work." Among the 465 respondents, 12% disagreed, 21% were neutral, and 68% agreed; 49% of the survey respondents had recently graduated (within 1 to 2 years) with an engineering degree from a US institution and 27% of the respondents were members of EWB-USA. Differences in opinions were found based on gender (females higher average agreement), discipline (environmental higher agreement than mechanical), and years since earned Bachelor's degree (higher agreement for those who earned degree 6 or more years prior). By comparison, responses from US engineering students (n = 4191, 17 institutions, all ranks and majors, 2011–2014) to the same question were: 11% disagree, 34% neutral, 55% agree (Bielefeldt unpublished data, combined from studies described in [53–55]). Thus, among both engineering students and professionals the majority agreed to some extent that engineering firms should take on pro bono work.

In Australia, the University of Technology Sydney studied the attitudes of their students toward pro bono engineering. Based on a report that students were required to submit after their first internship, it was found that: 20% poorly engaged with the pro bono aspect of the assignment, 10% had not considered pro bono before, 10% acknowledged little knowledge of pro bono in engineering, 30% focused on what they could get out of pro bono work, 20% indicated they might engage in pro bono work in the future, and only 10% showed a clear intention to be involved in pro bono work [51].

Engineering service groups comprised of volunteers are becoming more popular. A prime example is EWB-USA which works to help meet the basic needs of global communities. In 2015, EWB-USA reported 16,800 members in 288 chapters [56]. These chapters include both student chapters (typically affiliated with a university or college) and professional chapters. This is a large number of engineering students/ professionals engaged in donating their time to help others through engineering. EWB International (EWB-I) has 65 organizations that are part of its network [57]. EWB-Australia is particularly active; in 2015–2016 they reported 3275 members/friends, plus 30 university partners with 9513 students engaged in an EWB challenge activity, and 13,000 students engaged via their school outreach program [58]. They state, "our EWB Connect initiative has been pioneering the creation of a pro bono engineering culture across the profession." [58, p. 4]. Other examples of pro bono focused engineering service groups include Bridges to Prosperity, Engineering World Health, and the Community Engineering Corps (an alliance of ASCE, EWB-USA, and the American Water Works Association).

In engineering education, pro bono work can take the form of service-learning or Learning through Service, also termed community engagement [59, 60]. VanderSteen et al. [61] discussed humanitarian service-learning projects locally (in Canada) and abroad (Ghana); both appeared to have impacted students' views of socially responsible engineering. Linkages between community engagement activities among US engineering students and professional social responsibility attitudes were found in a large study [62]. As well, engineering faculty believe that students learn about ethics and societal impact issues via community engagement activities [63].

2.4. Social justice

Social justice relates to the distribution of wealth and privileges in society, as well as issues related to poverty and development. There are a growing number of advocates that engineering social responsibility encompasses social justice issues, including engineering faculty in the US [64, 65], Australia [66], Finland [67], and Colombia [68]. A group devoted to this issue, Engineering, Social Justice, and Peace (ESJP), routinely hosts a conference. But there are also naysayers [69–72], and the majority of the public comments posted with these articles were against social justice education for engineers. For example, one commenter noted "Employers will shun engineers who they suspect may have been indoctrinated with social justice ideas. In short, SJW ideology is a highly destructive virus" [71]. The robust number of comments posted with these essays speaks to their controversial nature; for example, 279 comments on the Washington Times article [72].

Many have asserted that the majority of engineering activities are devoted to benefitting the wealthiest on the planet, versus devoting attention to the large percentage of the global population that survives at a near subsistence level. Engineering education programs to address these concerns in the US include the D80 center at Michigan Technological University [73], the Engineering for Developing Communities Program at the University of Colorado Boulder [74], and a number of other programs [75]. There are also similar programs in Spain [76] and Canada [61].

There does not appear to be widespread formal education of engineering students about social justice and/or poverty issues; only 17% and 15% of engineering faculty taught these topics in courses, respectively [14]. However, these topics are reasonably pervasive in co-curricular engineering service groups (such as EWB-USA). Among faculty mentors of engineering service groups, 90% felt students learned about engineering and poverty and 47% felt students learned about social justice.

2.5. Diversity

There are a number of diversity-related issues in engineering. A primary issue is the persistent lack of diversity within the engineering workforce in the United States and many other parts of the world, which is predominated by men and generally lacks racial/ethnic diversity. Other "non-visible" diversity issues relate to socio-economic status (low income individuals under-represented), cognitive and personality types, etc. [77]. The lack of diversity in the engineering profession is also found in engineering education. Implicit bias and a chilly climate are often cited as potential reasons for the lack of diversity within the engineering profession. It has been argued that this lack of diversity is detrimental to engineering and limits the ability of engineering to best fulfill its mandate to benefit society [77, 78]. It is unclear if one of the social responsibilities of the engineering profession relates to employing the diversity of individuals in society. Statements related to diversity in engineering codes of ethics are summarized in **Table 2**. Generally, these relate to avoiding discriminatory treatment, but the Australia [27] and the UK [29] codes also include language to promote/support diversity. Most recently in the summer of 2017, the ASCE updated its code of ethics to include provisions related to diversity [79]. The ability to work effectively in diverse teams is an explicitly acknowledged

Discipline	Country	Engineering ethics code text related to diversity
Engineering [18]	Australia	"1.3 Respect the dignity of all persons. (A) treat others… without discrimination… (b) …without bias in respect of race, religion, gender, age, sexual orientation, marital or family status, national origin, or mental or physical handicaps; 3.2 Support and encourage diversity; (b) promote diversity in engineering leadership"
Engineering [16]	USA	(None)
Engineering [20]	UK	"Promote equality, diversity and inclusion"
Engineering [29]	The Netherlands	(None)
Engineering [30]	India	"Treat fairly all persons regardless of race, caste, religion, gender…"
Aerospace [31]	USA	Treat co-workers "fairly and respectfully"
Biomedical [32]	Global	(None)
Chemical [33]	USA	"Never tolerate harassment"; "treat all colleagues and co-workers fairly and respectfully, recognizing their unique contributions and capabilities by fostering an environment of equity, diversity, and inclusion"
Civil [17]	USA	"Treat all persons fairly and encourage equitable participation, without regard to gender, race, national origin, ethnicity, religion, age,.… consider the diversity of the community, and… include diverse perspectives"
Electrical [34]	Global	"…treat fairly all persons and to not engage in acts of discrimination based on race, religion, gender, disability, age, national origin, sexual orientation, …."
Mechanical [35]	USA	(None)

Table 2. Diversity-related issues in engineering codes of ethics.

requirement for engineering graduates [20, 46]. However, diversity concerns, like social justice, are not universally embraced as being relevant to engineering [71].

Another important issue with respect to diversity is the extent to which the profession fairly compensates workers, without regard to gender, race/ethnicity, etc. In India, female engineering/computing workers generally earn less than male counterparts [80]. Cech [81] found that wage differences by gender in engineering within the US might be partially accounted for based on the nature of the work being done with respect to a technical:social dualism hypothesis. It was found that women were more represented among less "technical" sub-disciplines in engineering and among more social tasks in engineering.

3. Individual social responsibility development

An individual's perceptions of their social responsibilities as engineers will develop over time via the process of professional socialization. The professional socialization process begins with novice views of the engineering profession. These informal influences may include messages from media (e.g., movies, news, books), family or acquaintances (e.g., parent an engineer), and school (primary and secondary). Some students' pro-social motivations are a driver for their decision to major in engineering [54, 82]. This aligns with efforts to market the social benefits of engineering, in line with recommendations from the US National Academy of Engineers "Changing the Conversation" report [83]. A higher percentage of female engineering students included helping people, helping the environment, and positively impacting society as reasons they chose their engineering major, based on open-ended responses [84]. Differences were also found among disciplines; a greater percentage of students majoring in environmental and civil engineering described helping goals as compared to students majoring in mechanical engineering [54]. Among UK students given 7 options as to why they decided to study engineering, only 13.5% selected a desire to 'make a difference' to the world; there was no difference between female and male students, and this aspiration was the lowest among 4th year students [82]. There is also some evidence that students who enter engineering with the strongest pro-social motivations leave engineering majors during college at a higher rate than their peers [85, 86].

Professional socialization processes for engineers are more explicitly occurring during higher education and in the engineering workforce. The continuum of the development of professional civil engineers is outlined explicitly in the Civil Engineering Body of Knowledge (BOK) [40]. Here, the acquisition of various knowledge, skills, and attitudes is mapped from the Bachelor's degree in engineering, through a Master's degree or additional formal education, and during mentored experience working under the supervision of a licensed professional engineer. In regards to professional and ethical responsibility, the civil engineering BOK includes proposed affective domain outcomes such as "commit to the standards of professional and ethical responsibility for engineering practice" [40, p. 94]. Within the "attitudes" outcome elements such as honesty, integrity, consideration of others, respect, and tolerance are included [40].

During higher education, in addition to learning important knowledge and skills, students are developing attitudes and affective outcomes associated with engineering. Professional socialization during higher education includes courses and a variety of informal education experiences outside the classroom, such as professional societies or internships in engineering. A number of studies have explored student perceptions related to elements of social responsibility. Despite bringing students with aspirations toward positive social benefits into engineering, there is evidence that these goals may diminish over time [87, 88].

Professional socialization continues into the engineering workforce. While Cech [87] found continuing evidence of decline in the public service beliefs of alumni from engineering programs after 1.5 years in the workforce, counter-evidence suggests that working engineers may become more committed to their professional social responsibilities over time. A survey of working engineers (Bielefeldt unpublished, from the study described in [8]) found that the majority (61% of n = 467) agreed with the statement "Since earning my bachelor's degree, I have become more motivated to help people and society through my work"; only 16% disagreed and 23% were neutral. Responses did not differ by gender but did differ based on years since earning Bachelor's degree (5 or fewer years lower than 6 or more years) and engineering discipline (mechanical lower than environmental). Similarly, the majority (67%) disagreed with the statement, "Since earning my bachelor's degree, I have become less confident of my ability to make positive impacts on people and society through engineering." Responses differed by gender (female stronger agreement than males), years since earning Bachelor's degree (5 or fewer years more agreement versus 6 or more years), and discipline (environmental stronger agreement than civil).

Models have been proposed to explain the development of professional responsibility attitudes in individual engineers. The Professional Social Responsibility Development Model (PSRDM) [89] was based on an ethic of care framework, and drew from Schwartz's [90] altruistic helping behavior model, Ramsey's [91] model for integrating social responsibility into the decision process of scientists, and the Delve [92] Service Learning Model. The PSRDM includes three realms: personal social awareness, professional development, and professional connectedness. The personal social awareness realm describes one's personal feelings of a desire to help others, which is inclusive of the dimensions of awareness that needs exist, feelings that one possesses the ability to help, and a connectedness that motivates one to action. Separate from these personal feelings, an engineer should develop professionally. The three dimensions of this realm include one's belief that a variety of *base skills* are needed for engineers, feelings that engineering has the capacity to help address societal issues (*professional ability*), and an awareness that one should analyze the societal impacts of engineering and include stakeholders from the community in the engineering process. Finally, it is anticipated that a person's individual motivations to help will come together with their engineering professional development, to inform their sense of professional connectedness. A personal motivation to help others through application of one's engineering skills can be fostered through a cycle of engaging in this helping behavior. It will also increase one's sophistication in their awareness of both the costs and benefits of helping and serving others through engineering.

An Input-Environment-Output type of model derived from Wiedman [93] was used by Rulifson [92] to describe the development of professional social responsibility ideas in engineering students. As inputs, individuals bring pre-dispositions toward personal social responsibility and attitudes toward engineering into college. These are developed from family influences and high school, etc. Within higher education, a number of factors have been determined to influence ideas of professional social responsibility. However, Cech [87] notably found that attitudes toward public service decreased among 326 engineering students attending four US institutions. This concerning trend was termed a "culture of disengagement." It is perhaps not surprising given that the majority of engineering studies focus on technical issues, and preference technical issues over the interactions of technology with society. This technical:social dualism may reduce students' focus on the impacts of their work as engineers. However, experiences during engineering studies may counter this decrease in engineering students' ideas of socially responsible engineering. Some engineering students cited courses as impactful to their views of social responsibility [94]. Brodeur [95] suggested a number of ways to integrate social responsibility ideas into engineering education, including the use of the CDIO Syllabus, cooperative learning, constructive controversy, and design-implement projects. Service-learning may advance students' ideas of social justice [96] and social responsibility [62, 95].

4. Conclusions

There are some elements of engineers' professional social responsibilities that are widely agreed upon. These include protection of human health and safety, and protection of the environment. Other engineering social responsibilities have less consensus across countries and disciplines, including the mandate to participate in pro bono work, strive for social justice, and embrace diversity. Corporations focused on engineering activities and for which engineers work typically have corporate social responsibility statements which document their commitments and contributions to sustainability in the form of their working conditions, the local community, and environmental impacts. Finally, studies are documenting how engineers' develop their sense of professional social responsibility, including their upbringing, college experiences in and out of the classroom, and socialization in the engineering workforce. Some troubling findings are that an individual's commitment to socially responsible engineering may actually decline over time, perhaps as they begin to separate their technical expertise from social commitments or feel that business interests outweigh broader social responsibilities.

There are still a number of unanswered questions in regards to engineers' beliefs of their professional social responsibilities, and factors that contribute to shaping these beliefs. More research that involves working engineers is needed. This should include longitudinal studies. It is unclear how the job roles of an engineer – from a freshly graduated junior engineer, to a more senior engineer with supervisory responsibilities – may impact their views of professional social responsibility. It is also unclear how the work setting – public entity, private consultant, working for industry – might be impactful. Job roles should also be explored – research, design, project management, sales, etc. These studies are needed in different countries and cultural settings, as well as in different engineering disciplines. Due to the widespread impacts that engineers have on society and our planet, it is imperative to understand how to better foster social responsibility commitments among engineers.

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Conflict of interest

The author declares that she has no conflict of interest related to this work.

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Chapter 4

Mining Conflicts and Corporate Social Responsibility in Kenya's Nascent Mining Industry: A Call for Legislation

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Additional information is available at the end of the chapter

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Abstract

Much of the debate in Africa with regard to mining has been on the question on whether or not mining is good for development. While some scholars agree that mining is indeed good for development, others have argued that the structural constraints found in many developing nations render mining almost untenable. Corporate social responsibility (CSR) has been suggested as one of the ways through which the difficulties associated with mining can be ameliorated. However, CSR activities in developing countries, especially in Africa, have had a questionable reputation. Many view the few programs rolled out under this program as having done little in meeting the needs of the affected mining communities. CSR in Kenya's mining industry has, on its part, received very little attention. This work reviews mining conflicts in Africa and examines how CSR can assuage mining community disaffection over mining projects.

Keywords: corporate social responsibility, mining conflicts, Kenya's mining industry, structural constraints

1. Introduction

The rapid reform of the developing world's mining economy has led to a host of social problems, none more serious than community dislocation ([1], p. 99). It is argued that involuntary population displacement and resettlement is "one of the major social pathologies" that inevitably results from numerous development projects ([2], p. 263). Structural constraints are exemplified by the displacements, which refer to "both the physical removal of people from their homes and restrictions on their resource use and access to places, which prevents them from pursuing their livelihoods [2]."

The 1980s is described as the "decade of displacement" ([3], p. 2183). This period witnessed the largest number of people displaced by development projects, whether through mining or through construction of large dams. In developing countries, the scale of population displacement has grown rapidly over the past decade due to compelling need for development projects [4]. The following data demonstrates the magnitude of mining-induced displacement: in Indonesia, 15,000 people were displaced in the Freeport Mine; between 20,000 and 30,000 were displaced in the Ghanian Tarkwa Mine; over 37,000 people were displaced between 1996 and 2001 in Southern Africa; in South America, 25,000–35,000 people were forcefully relocated in the Tucurui hydropower complex in Brazil, which was to be used to support a nearby mining operation. Other cases of mining-induced displacement and resettlement are visible in Papua New Guinea, Indonesia, the Philippines, Peru, Venezuela, Suriname, Guyana, Argentina, Chile, Honduras, Tanzania, Botswana, and Namibia [4]. Kenya can now also be added to the map of Mining-induced development resettlement (MIDR) as populations have been displaced in the titanium mining project in Kwale and in the Fluorspar mining project in Kerio Valley. The World Bank and the African Development Bank (AfDB) policies provide standards for involuntary resettlement programs by recommending some minimum requirements that have to be met, such as the provision of housing facilities, water supply systems, schools, and healthcare facilities among others, at the host site for use by the displaced persons. Another benchmark used by governments and extractive companies for purposes of guiding involuntary resettlement is the "Equator Principles." This is a financial industry benchmark for determining, assessing and managing social and environmental risk in project financing. Members of this Institution (the Equator Principle Financial Institute), offer development loans only to institutions and/or governments that comply with the nine Equator Principles.[1]

The problem with mining-induced displacement and resettlement (MIDR) is that it poses a major risk to societal sustainability, and according to the World Bank's Operational Policy 4.12 of 2001 if these risks are not mitigated, involuntary resettlement projects would give rise to severe economic, social and environmental problems [5]. Social displacement in Kenya in the post-colonial era (that is, after 1963) has been in relation to several projects, notably the Kiambere Hydro Power Project, the Third Nairobi Water Supply Project, the Lake Bogoria Game Reserve, the Sondu Miriu Hydro Power Project, the Turkwel Gorge hydro-power project and the Kwale Mineral Sands (titanium) Mining Project. Of the six, Kwale's displacement bears the distinction of being the first post-colonial anti-commons (large scale displacement event) act in the mining sector for solid minerals. Due to its symbolic nature, mining breeds more intense conflict than in the other instances of displacement. It is for this reason that social provisioning to aid the displaced persons becomes very critical. Corporate social responsibility (CSR) has been suggested as one way through which conflict between the local community on one hand and the extractive company/government on can be minimized. Let us examine the nature of the mining-induced conflict in the African continent.

[1]See EPFI, June 2013 - www.equator-principles.com/about [Accessed: March 17, 2018].

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2. Mining conflicts in Africa and some other developing countries

Mining is one of Africa's most important industries, as it contributes significantly toward local employment, foreign exchange earnings and national Gross Domestic Product (GDP). Africa hosts 30% of the earth's mineral reserves, including 40% of gold, 60% of cobalt, and 70% of platinum deposits, and produce about 30% of the world's gold, 70% of the world's platinum, 28% of the world's palladium, and 16% of the world's bauxite. Africa also produces (yearly, in thousand metric tons) 205,056 of hard coal, 67,308 of nickel-bearing ores, and 29,174 of iron-bearing ores, as well as 595,507 kg of gold-bearing ores. Small-scale mining has also played a crucial role in mineral wealth generation in Africa, and was a source of wealth for many empires and kingdoms before, during, and after the colonial period. It is estimated that in recent times, small-scale mines produced gold and gemstones valued at a combined worth of U.S $1 billion annually [5]. Without a doubt, therefore, mining has been and continues to be of great economic significance to the economies of many African countries.

Mining presents communities with opportunities for social and economic development through positive impacts such as increased access to jobs, healthcare, education, and sanitation. However, at the same time, it can also result in devastating impacts on human health, local systems, social structures, production systems, cultural traditions, physical displacement, demographic shifts, and dependency ([6], p. 153). Mineral extraction has long been accompanied by social protest—some of these protests have been against social dislocation ([6], p. 431). However, much of the mining projects are fraught with conflict over various issues, such as conflict over land ownership, conflict over compensation of lost assets, conflict related to environmental degradation, conflict over sharing of mining benefits and lastly, conflict over abuse of human rights (in the process of mining activities).

Examples of such conflict are many, and several reasons have been advanced as to the causes for these conflicts and are based on structural controls of different governments. In Nigeria's Niger Delta, the local communities have been embroiled in conflict with the extractive companies (particularly Shell and Chevron) and with the Nigerian government ever since the first commercial drilling of oil begun in Oloibiri in 1956 [7–10]. It is argued that the question of land ownership is what underpins much of the conflict witnessed in the Niger Delta [11]. Research among some rural communities in Rivers, Bayelsa, and Akwa Ibom States in Nigeria's Niger-Delta region, noted the disdain with which the locals held the Land Use Act (which allowed land expropriation by the state), and the 1969 Petroleum Act (which vests all petroleum resource rights to the federal government), which clashed with the traditional thinking of the locals who exercised allodial interest on land, as occupants and users of the land, and therefore, considered themselves the real owners of the land [11]. The locals insisted that they not only own the surface rights, but that also owned the subterranean rights as well. Environmental degradation is also offered as another reason for these conflicts. When one looks at how 80 years of commercial mining of tin has left a legacy of damaged or derelict landscape covering some 316 square kilometers in Jos Plateau in Northern Nigeria, and how efforts at reclamation have largely failed, one can understand why mining is abhorred ([12], pp. 48–49). Clearly, environmental concerns are a major issue in mining conflicts, even more so when the damage is as glaring and/or as dangerous as that currently witnessed in the Niger Delta (where environmental damage is caused by gas flaring, tailings, and oil spills) ([11], pp. 28–29). Other scholars have argued that mining conflicts are caused not so much by environmental degradation as literature suggests, but by the unequal distribution of outcomes arising from environmental degradation and the process that causes it, or from the profits emanating from such activities ([13], p. 5; [14]). Locals are often quoted lamenting that "what we have here is a situation in which the states producing the oil wealth go cap-in-hand and the non-producing *far-flung* states enjoy the wealth ([14], p. 770)." It is argued that oil extraction and distribution of the benefits, as well as oil revenue politics, informs most contemporary conflicts in Nigeria's Niger Delta [9, 10]. It is noted that whereas much of the oil revenue is derived from this region, it remains one of the poorest regions in Nigeria. Although oil is primarily pumped from this region, and that this dominates Nigeria's foreign exchange earnings, the "oil minorities" receive few of its benefits; rather, "the central government distributes most of these earnings to more politically powerful regions particularly the North, leaving the Delta one of the poorest and most backward regions despite its being the primary source of Nigeria's wealth ([9], p. 395)." This has spurred unrest in the Delta, leading to violence, acts of sabotage and to the kidnapping of government and oil-company officials.

Land ownership is also central to the conflict in Prestea, Ghana, where the indigenous *galamsey* (local term given to "illegal" artisan miners) mining group are in conflict with Bogoso Gold Limited (BGL—the property of the Canadian-listed multinational Gold Star Resources) over mining concessions [15]. Whereas the extractive company claimed that they had exclusive rights to land, having secured the requisite permits and leases, the artisanal *galamsey* claimed that they had indigenous ties to the land and that the recent policies were therefore inappropriate. The government, on the other hand, argued through the power of eminent domain, it had the authority over all land in the country. It is evident from these structural constraints that conflict tends to arise because of the multi-tiered system of land rights that exists in most developing countries, especially those in sub-Saharan Africa. As Firmin-Sellers argues

> *Throughout Africa, property rights to land are fluid and insecure. Private property, state ownership, and communally defined rights coexist in an ever-changing mix. Definitions of communal tenure continually shift. The farmer who claims land rights under one property system can never be certain when (or if) others will challenge his claims; neither can he predict whose claims the local community or state will uphold* ([16], p. 105).

Tension particularly picked up in June 2005 when, during a public demonstration against Bogoso Gold Limited (BGL) operations, the army opened fire on the crowd wounding seven locals. According to Bogoso Gold Limited, the locals were being unreasonable over claims over their ancestral land as they no longer have rights to the land, having legally leased this to the company. As one company official put it:

> *the main issue is…the mind-set of these people—the galamsey people—whatever the government has to do to change their mind-sets…unless that is done, and like I said, there should be some radical way of doing it…Prestea people think they are unique, they are in a different state, and they can make their own constitution* ([16], p. 106).

This statement underpins how contentious land ownership is in much of Africa. Other scholars have also identified this as the dominant source of conflict in mining operations [15, 17, 18]. It would appear that it is when communities are on the verge of losing their land that they realize just how precious that piece of earth is to them, and it is possible that it is this realization that then triggers the conflict.

Examples are plenty on how mining has degraded the environment. One such example is how cyanide spills in developing countries have had a negative impact on the environment—at the end of which the author asks whether mining is sustainable ([19], p. 319). This question arises due to the non-renewable nature of mining, and for the observed impact that it has on the environment and on the health of the surrounding community. Another example is the titanium mining accident of October 8th, 2010 in Nampula, Mozambique. On this occasion, a containment wall around one of the settling ponds adjacent to the dredge mine ruptured, and a flood of water, sand, and clay swept through part of the village of Topuito, destroying or damaging 115 poor houses and leaving their inhabitants homeless [20]. Fortunately, this was not toxic waste. One wonders what would have happened had it been toxic waste. However, coming close to the disastrous October 4th, 2010 aluminum toxic waste sludge in Hungary, the incident in Mozambique was enough to worry the Minister of Mineral Resources to travel to the coastal district of Moma to meet officials of the Irish company Kenmare, which operates the mine. The foregoing reinforces the notion that lack of proper legal structures and practices, coupled with delays or absence of operational reforms in the mining sector (especially in developing countries) only serves to make matters worse in the mining industry. This is at times despite the fact that there are policies in place by the funding agencies that are meant to guide the mining process against such eventualities.

Environmental concerns were again the bone of contention in asbestos mining in Prieska, South Africa. It is argued that damage arising from asbestos mining, which resulted in three deadly diseases [21] (asbestosis, lung cancer, and mesothelioma), was the major focus of the conflict. The locals were compelled to sue the concerned mining company (Cape PLC, registered in UK) over the effects of asbestos. The interesting part was that they lodged the case in the UK. In 2003 they won the court "battle" (in the UK) [20]. This was a pointer and an indictment to local laws, especially those in Africa, as not being adequate enough to protect the right of its citizens against environmental malpractices by multinationals. Another conflict front is opening up in South Africa's Wild Coast, where the Pondo community is currently resisting plans to mine titanium on their ancestral land, a move they claim will threaten a pristine environmental paradise.

The failure of the Angolan state to redistribute the oil resources in any just way has also prompted local unrest. This was most pronounced in the Cabinda enclave, where most of the Angolan oil has been extracted to date. It is argued that grievance over state neglect and the prospect of huge oil revenues were undoubtedly the main factors in the armed conflict of the Cabinda separatist groups ([22], p. 592). The separatists made a dramatic public statement in early 2010 when they viciously attacked the Togolese football national team, who were on their way to the African Cup of Nations competition that was hosted by Angola. In one research, it is argued that "mineral-dependent states have significantly higher levels of inequality than states with similar incomes: the more that states rely on mineral exports, the smaller the share of income that accrues to the poorest twenty percent of the population ([23], p. 377).” In other words, sharing of benefits accruing from mining operations is not equally shared, and this, therefore, brings about tension and conflict.

Oil conflict in Darfur region of western Sudan is another example of note. The Misseriyya and the Dinka Ngok have long had competing claims over cattle-grazing areas and water sources in this region but environmental degradation (resulting from oil explorations), climatic changes and government support of one militia group over another have exacerbated conflict over land and the sharing of oil revenues. The involvement of the government of Sudan in supporting the one local militia against the other has further complicated the conflict. While acknowledging the contribution of grievances associated with marginalization, indigenous land rights and the exploitation of mineral resources, the continuing impact on the region of the global war on terror, competing imperialisms and sub-imperialisms; the associated interests of multinational mining companies; environmental threats, the interests of international drug-traffickers and human rights abuses inflicted on the civilian populations in both Niger and Mali by the recently US-trained militaries, the ongoing Tuareg rebellions in Niger and Mali are also generally attributed to the Niger Tuareg’s demands for a greater and more equitable share of the country’s uranium revenues [24].

The feeling of not benefiting from the mining activities is often hinged on some feeling of “ownership,” which in this case, is the feeling among the community that they are the “true” owners of the land (and the minerals) on which the mining process is taking place. This then gives them that natural tendency to expect returns from what is “theirs” [25]. The indigenous landowners in Fiji, for instance, believe that land ownership extends to everything below and above the area of land they own, and this includes the minerals found below and the sky above ([26], p. 116). It is this feeling of “ownership” that then leads to demands for a share of the accruing benefits.

The high-handedness of governments in dealing with mining protests is also cited as another reason that sparks conflict. For instance, the ugly reprisal by the Indonesian army against protesters in West Papua is suggested as the main reason why the mining conflict in West Papua has gone on for this long ([27], p. 159). In the initial stages, the indigenous peoples were only protesting against the pollution of the Ajwa River by the Grasberg mine, owned by Freeport McMoran of New Orleans ([27], p. 159). In late 1970s, the locals (the Amungme) rebelled and destroyed the pipeline carrying copper concentrate to the coast; this was followed by ugly reprisals by the Indonesian army that was characterized as particularly terrible ([27], p. 159). This sparked outrage among the local community that has persisted to date. In furtherance to their protest, the Amungme community lodged several class action suits in court. Reports document that the Amungme representative, Yosepha Alomang, was subjected to horrible detention conditions as a result of these court cases. This is reminiscent of how the Maasai in Kenya (as will be discussed later) have been brutalized by the police whenever they attempt to publicly protest against the Magadi Soda Ash mining project.

The Liphokojoe conflict is yet another example that is of interest. In the early 1960s, individual diggers came from South Africa and various parts of Lesotho to Kao in northeast Lesotho to

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mine diamond deposits that had been discovered in that region. However, these deposits were later leased out to a multinational company. These individual diggers were subsequently evicted from these lands. They thereafter spent most of their time hiding in caves and running away from the police—this is why the called themselves Liphokojoe (jackals/foxes), while spending most of their time stealing unprocessed ore from the company. At some point, the Liphokojoe chased away the company employee and took over the mine. In 1970, they launched a full-scale revolt against the government, the police, and the company over the mine where they killed policemen, burnt down government facilities and chased away other foreign prospectors. Suffice to say, this was met with utmost brutality from the government and resentment against the mine continues to date [28].

What the foregoing discussion reveals is that there are many factors that breed conflict within mining projects, most of them are based on structural constraints, on systemic inequalities. These conflicts raise the question whether mining operations should be allowed to go on even in instances where it is obvious that it would have a deleterious effect on the local population. Some scholars certainly think that they should not proceed, and argues that:

> *Mining companies and governments have to realize that just as a mining deposit under New York City would certainly not mean that mining will go forward, the same may be true for other places as well. This is where environmental justice arguments may start to creep in, despite the geological determinism of mining in general* ([29], p. 432).

3. Specific cases of mining conflicts in Kenya

Let us now turn our attention to Kenya, and examine the causes of conflict within mining enterprises in this East African state. In this discussion, we shall examine the Kwale titanium project and the Magadi soda ash project.

The impact of mining on the environment has been argued as one of the major factors that drive the Kwale titanium mining conflict [30]. The titanium minerals targeted for exploitation in this project have impurities of iron, thorium and uranium, and that in the absence of an effective environmental management plan (EMP), the effects of stockpiling radioactive wastes and other impurities could lead to environmental degradation in both the terrestrial and marine environment. Further, it is argued that the inadequate compensation offered has also caused much disaffection among the displaced community as it did not take into account family size and structure, family assets and the cost of relocation ([28], pp. 73–74).

The concerned company, however, argued in defense stating that the environmental concerns pointed out have been addressed via an Environmental Impact Assessment (EIA) carried out in 2000—and for which approval by the National Environmental Management Authority (NEMA—the government body charged with the responsibility of assessing projects that may have an impact on the environment), was obtained and a license issued in July, 2002. Thereafter, NEMA approved the project's Environmental Management Plan (EMP) in January, 2003. The host resettlement site was also subjected to an EIA exercise, whose mitigation plans were approved in 2006. The company further argued that the project had taken note of the potential environmental impact resulting from radioactive waste, and it was for this reason that it undertook the EMP exercise for which approval was obtained. Furthermore, the EMP pointed out that only very low "unharmful" levels of radioactivity occur naturally in the sands of the Kwale deposit, and even then, an elaborate system under the EMP had been put in place to manage the radioactivity levels. As for the matter of lost arable land, the company maintained that the area cannot be classified as supporting luxuriant agriculture as claimed by those who oppose the project. At best, the company argued, in agricultural terms, it could only be described as marginal land with subsistence farming being the norm. Further, the company argued that access to the sea was not restricted as the mine was located 12 km inland and as such, the project does not encroach on the sea or fish landing points enjoyed by the community [31]. Critics of the project however counter that restriction arises as the residents had been relocated further inland, far away from the sea. As for the issue of compensation, the extractive company (Tiomin-Kenya) maintained that the rates had been mutually arrived at through joint consultation between the government, the residents, and the company through the District Resettlement and Compensation Committee [28].

A discussion on mining conflict in Kenya is incomplete without mention of the longest conflict in the history of mining in Kenya: the Magadi Soda-Ash Mining. This conflict dates back to 1904 when a mining lease for this project was issued by Sir Donald Stewart, then the British East African Commissioner for the British colonial government. Opposition to this mining project, which has been on-going since 1904, hinges on the manner in which agents of the East African syndicate, the company that was at that time granted a "research" license to prospect for minerals in the then Maasai Reserve, "fraudulently" acquired large tracts of Maasai land for the purpose of mining the naturally occurring trona at Lake Magadi, situated some 120 km south-west of the city of Nairobi [32].

Whereas the Maasai "agreement" of August 8th, 1904 only allowed for European settlement, a move that physically displaced them from the wider Maasai land and into northern and southern reserves created for their settlement, they were made to sign additional "agreements" on August 9th and 15th, 1904 in which they gave their "consent" for mining to take place at Lake Magadi. The 20-year lease (later revised to a 99-year lease on April 12th, 1911) gave "full and uninterrupted right…to dig, get win and carry away all soda and other deposits minerals or precious stones there found ([32], p. 142)."

This concession was unfair, given that they were granted on land reserved for dispossessed Maasai communities. It is argued that the first Maasai agreement of August 8th, 1904 had expressly stated that these reserves were not to suffer any further excision, except upon "express consent" by the affected community. A careful look at the handwritten original 1904 document shows that the so-called "consent" to vacate the land was inserted in the agreement after the Maasai representatives had "signed" (thumb print impressions were used as there were hardly any educated Maasai then) the agreement. A second agreement granting extended lease into more areas occupied by the Maasai in the designated reserves were "signed" in 1911 on four separate dates, on April 4th, 13th, 19th, and 26th, 1911. A case challenging this extension was lodged in 1954 but the Maasai lost on grounds that they had lodged their complaint outside the stipulated legal statute of 6 years in terms of government notice of 1920. However, how many Maasai would have had access to this legal notice of 1920, let alone the fact that they would have been unable to read it in the unlikely event that they had possession of it? To further stress the illegality of the possession of the Maasai land, it is noted that Provincial Commissioner Sweatman had in 1933 asserted that the mining clause in the 1911 Maasai agreement did not apply to the Magadi area, and as such, the mining company had illegally been occupying the said mines at that juncture (since 1911) ([32], pp. 157–158).

Failing to obtain a favorable ruling in court, the Maasai were patiently waiting for the lease to expire in 2023 at which time they would ask the independent government to correct the ills perpetuated by the colonial government. However, to their surprise, the Kibaki government that assumed power in 2002 extended the lease in 2004 for another 33 years—this was done despite open protest from the Maasai. The resultant court case was thrown out on a technicality, and demonstrations thereafter met with brutal police force.

However, land was not the only grievance that the Maasai bore against the Magadi mining project. Once operations on the project commenced, the community complained over the chemical stench from operations at the lake, a stench that was said to result in human sickness and health hazards. They demanded, and to date continue to demand, payment of royalties that were promised under the 1904 and 1911 agreements, but which have never been honored. This caused one community leader to remark in the 1960s that:

> *for 50 years they have drained the life blood of the Masai13, and the Masai are now as dry as twigs… The Company had stolen Masai water…So where are all the profits of the company going? Into the pockets of Europeans* ([32], p. 153).

The Maasai also protested against the high-handedness with which the previous colonial and successive Kenya post-independent governments treated them whenever they have attempted to hold peaceful demonstrations. It is reported that one of the most vocal opponents of the mining venture, a lawyer for the Maasai on the cases lodged against the post-independent government, was shot dead in 2005 in an alleged robbery outside his suburban house in Ngong, where nothing was stolen from him. The perpetrators of this crime have to date not been brought to justice. It is everyone's guess who could have been responsible for the murder —"those who did not wish to rock the Magadi boat because they were beneficiaries of the operation and had received kickbacks and shares ([32], p. 153)."

In view of the above conflicts, the government and the company need to take careful measures that would assuage the disaffection of the affected mining communities against the two mining projects. This where CSR comes in.

4. The place of corporate social responsibility (CSR) in the mining industry

The popularly used definition for Corporate Social Responsibility in literature is that adopted by the Commission of the European Communities (CEC), which defines it as a system whereby companies integrate social and environmental concerns in their business operations and in their transaction with stakeholders on a voluntary basis ([33], p. 7). However, CSR activities in the mining industry have long had a questionable reputation for social responsibility, especially in developing countries ([34], p. 275). This is why, as illustrated in Carroll's CSR pyramid, companies view CSR activities as trailing in importance when compared with economic, legal and ethical responsibilities [35]. CSR programs have not been without their dissenters who offer counter-narratives about the effectiveness of the programs. For one, it is reported that local communities are usually discontented by the manner in which extractive companies design and carry out their programs as they are fond of employing the "top down" approach, which often alienates the local communities from these programs—this is despite enjoying the relative benefits that come with such programs [34]. Others point to the often observed disconnect between the social provisioning provided and the wealth that is mined. This imbalance often agitates local communities leading to instances of conflict [36]. Others point out that in some cases, the array of social provisioning pointed out in company newsletters are never translated on the ground [37]. It is because of the various negative effects that accompany mining activities, and the fact that companies benefit hugely from these mining projects, that local communities have developed a natural tendency to expect tangible projects and services from mine developers, as they (the mining companies) are the originators of these problems [25]. Many organizations are thus adopting corporate social responsibility (CSR) to enhance their competitiveness and gain company acceptance ([38], p. 33). CSR is largely used as a form of corporate self-regulation integrated into a business model. Some scholars have argued that profits, rather than community development, is what drives capital.

> *Most corporate entities are formed to undertake business activities with a view to making profit. In view of this, business enterprises have been criticized as being driven by motives that militate against concern for the common good. So it is sometimes argued that if business is to be allowed to get on with the production of wealth, it must be made, by a combination of law and public pressure, to discharge responsibilities that are additional to the maximization of profit (Atuguba and Dowuona-Hammond* [39], p. 17).

In essence, their argument is that though CSR is a voluntary undertaking, laws are still needed to ensure that firms do implement programs that benefit the local communities. For the mining industry, social responsibility may have direct implications for bottom line profits as evidence shows that sincere, convivial relations between mining companies and local communities play a crucial role in the economic and competitive strength of a mine [40]. CSR is, therefore, critical in bridging the gap between company profits and community development.

5. A critical look at corporate social responsibility (CSR) in Kenya's mining section

Kenya has an embryonic mining industry. Indeed, of the 70 important minerals listed by the British Geological Survey (BGS), Kenya is only listed in six of these. However, Kenya is currently revamping its mining industry and with the discovery of titanium in early 2000 (comprising 14% of the world's total), of gold deposits in Trans Mara in 2011 (reserves estimated to be between 40,000 ounces and 60,000 ounces), of oil in the northern parts of Kenya, and of coal in the Eastern and Coastal part of Kenya, of gas in the coastal part of Kenya, and having the largest deposits of gemstones in the world, the country will soon be in the big league when it comes to mining. The need for CSR in the mining sector in response to this emerging fortune and to the troubles that usually accompany such mining concerns is, therefore, necessary if the further conflict is to be avoided.

As evident in most countries, more and more business enterprises are now engaging in CSR activities. Business firms are now integrating business with social acceptability so as to maximize profits. In Kenya, manufacturing firms, banking firms, airlines, government parastatals[2] among others, are now engaging in CSR activities [38, 41–45]. The general conclusion that the various researchers have come up with is that these business firms engage in CSR chiefly to obtain the "social license" to operate—this will, in turn, assist them to generate more profits. In keeping with Carroll's CSR pyramid, economic benefits are what interests most corporations. Legal responsibilities come next, followed by ethical responsibilities and tailing companies concerns are philanthropic responsibilities [46]. CSR and the matter of corporate citizenship in the mining industry are important for a sustainable environment, are fast becoming everyday buzz words but lacking serious commitment of companies and governments. Despite this growing importance, there is very little research being done on corporate citizenship in Africa ([35], p. 1). This is even more evident in the mining sector in Africa. In Kenya, for instance, as highlighted above, most researches carried out have focused more on business enterprises—very few studies have been carried out on mining firms [47, 48].

CSR activities of Tata Chemicals Magadi (TCMLL—formerly Magadi Soda Company) in Magadi division, Kenya is among the few that have been carried out [48]. Magadi Soda Company (MSC) started its operations in Kenya in 1911, in what some have viewed as underhand tactics by the colonial government which led to the local Maasai community to lose its ancestral land [32]. TCMLL "remains the dominant social welfare provider in the region and the community has benefited from the company's benevolence through donations and philanthropy" ([48], p. 75). Others have however argued against this characterization, instead arguing that the Maasai have benefitted little from this mining concern. They point out that among the concerns of the Maasai are the continued denial of compensating them for the seized land, the environmental degradation that has taken place and the continued refusal to pay the community mining royalties as had previously been promised [32]. When approached in 2005 and asked for its response to Maasai demands for a share of royalties, the company is reported to have ironically replied that:

> *"We are not faced with a demand for a share of the royalties as such, there is no claim…. There are a number of people from time to time who present themselves as representing the Maasai on this issue, but they don't."…. "these people (in reference now to those who had made representations to the UN Permanent Forum on Indigenous People on the matter of compensation and payment of royalties) are not part of the Magadi community and they don't"* ([32], p. 155).

[2]These are government owned companies, boards or organizations which help the government to run some essential functions.

The downside with Muthuri's article (see [47]) is that although it sufficiently details the process of participation within TCMLL CSR program (as in the author's words, the company "goes beyond the 'affect–affected' binominal defining the management of corporate–stakeholder relationships and demonstrating how a company purposefully facilitates participatory network governance to tackle complex social issues in the local communities in which they operate") it does not include community sentiments over these CSR activities ([48], p. 83). Neither does it enumerate the activities mounted by TCMLL and indicate the degree of participation within the various programs. The various CSR activities can nonetheless be found on Magadi Soda Foundation's Website[3]. One notes from the website that the company has programs in health, education, environment, and youth empowerment. With regard to health, the company boasts of having constructed a 60-bed capacity hospital that is open to the local community and offers both outpatients and inpatients services. Through the Foundation, the company further subsidizes healthcare in the hospital to the local community for up to 70% of the cost of treatment. However, based on the arguments on the stench emanating from the plant and the health consequences that come with this, coupled with the contamination of and scarcity of the water systems as affected by the mining operations, the benefits of these CSR activities against the health hazard promoted by the project are unclear. The webpage further informs that the Foundation has assisted in the construction/renovation of Entasopia and Oloika Health Centers.

On the education front, the company boasts of having supported many primary schools in the area in terms of construction of classes, provision of learning and teaching materials and installation of solar systems, among others. With regard to secondary schools, the Foundation lists the construction of a Boarding Secondary School in Magadi division as one of its achievements. This school opened its doors in 2005 and currently has over 400 students. It further states that over 20 students benefit from bursaries annually and are supported for 4 years. On tertiary education, the Foundation provides six scholarships for tertiary/university education for students from the entire wider Kajiado District. However, the amounts spent on this (education program) activity is not stated, and as such, one is left to wonder whether payment of royalties to community members would not realize more benefits.

With regard to the environment, the Foundation ran a program which lists the following objectives: (1) improved agro forestry by planting trees along river banks, homes, and southern part of the lake; (2) to improve environmental conservation and promote the economic livelihood of the community through wildlife based and other eco-tourism enterprises by 2019; (3) to mainstream environmental, climate and mineral concerns into overall planning, implementation, and monitoring of county government and partners, so as to reduce environmental degradation and strengthen the role of environment and natural resources in reducing poverty; (4) to raise real awareness of the importance of environmental matters within national and local political leaders; stressing social and economic importance as well as ecological consequences; and (5) to enhance environmental education, public participation

[3]See http://www.magadisodafoundation.org/ - accessed 27/3/18.

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and awareness and coordinate other stakeholders in environmental management. Its activities include public awareness campaigns, outreach and education, tree planting, clean-up campaigns, creating awareness of environmental challenges and solutions, promotion of best practices, and dissemination of environmental messages through mass and folk media. The impact of this against the degradation taking place as affected by the mining activity is not clear.

On youth empowerment, the Foundation lists the cultural challenges (the preference of a large number of children and shunning of education) that one is faced with by developing change in the community, indicating that its program envisages to empower the youth into realizing some business opportunities and practice projects in different places of the division to reduce poverty. The nuts and bolts of how this will be achieved are, however, not mentioned.

On its part, Base Titanium, which is mining Titanium in Kenya's coast in Kwale, indicates that it is involved in the following CSR activities; Community infrastructure, Community projects, and livelihood program, community health and provision of academic scholarships[4]. Under community infrastructure, the company lists the following as its activities (as guided by the agreement entered into in the lease agreement): construction of two schools, a dispensary, a social hall and two boreholes at the Mrima Bwiti Host Resettlement Site, and two schools, a borehole and health center at Magaoni, which have been completed. Since the area has several existing health facilities, in agreement with county health authorities, community consultation committees and the Commissioner of Mines, the company has provided a four-wheel drive ambulance to Msambweni Referral Hospital as an alternative to another dispensary in the area. Other activities include assisting the county government with the construction of early childhood development centers, agricultural training facilities, health facilities and water infrastructure; refurbishment of existing schools in Kwale and Mombasa counties to create a better learning environment; upgrading work to improve service delivery at the Kenya Medical Training College at Msambweni; and improving educational facilities for special needs children in both areas. An advanced maternity wing has also been constructed, equipped with specialized surgical theatres. This was done to obviate the need to transfer problem births across the Likoni Ferry (that connects Mombasa Island to the south coast mainland) to Coast General Hospital in Mombasa. The maternity wing constructed by Base Titanium at Likoni Sub-county Hospital was completed in 2017 and includes provision of 18 maternity beds. Under this program, the need for a blood bank facility in the County was identified to address the problem of acquiring blood supplies from Mombasa, which were often delayed, which then adversely impacted on emergency cases. Progress on this front is ongoing.

Under the community and livelihood program, the company has mounted agricultural support programs (on potato, cotton, sorghum, and poultry keeping), and animal husbandry programs. Other projects include: providing life skills training through sport supporting existing community projects such as Village Savings and Loans Association ("VSLA") schemes for volunteer community health workers and enterprise development for youth and women's groups.

[4]See http://basetitanium.com/community/community-programmes accessed 27/3/18.

With regard to the community health program, the company has rolled out a program to assist in the expansion of the Kwale and Mombasa Counties Health Departments' Community Strategy Program by providing funding for training and ongoing logistical support. On hospital equipment, long-term plans to upgrade the Msambweni Referral Hospital to a level that will be able to handle almost all emergency and routine medical procedures are underway. The Magaoni Health Center has also been constructed by Base Resources. Base Resources has provided equipment for this facility and has constructed a dispensary at Bwiti in 2012. Community health workers have also been empowered to deal with the emerging bedbug infestation through training in fumigation procedures and provision of fumigation equipment. Under the Prevention of Mother to Child Transmission ("PMTCT") project, the company had by September 2017 enrolled close to 800 HIV positive pregnant mothers into the care, with further effort envisaged to reach 11,000 HIV negative pregnant mothers with preventive messages.

Under the scholarship program, base resources have established a scholarship program to cater for bright but needy students. By December 2017, the company boasts of having supported over 1050 needy local students from Kwale County and Likoni Sub-county who are studying at a variety of institutions across the country. Since 2013 the company has invested 164 million shillings (US$1.6 million) in providing scholarships. One other community training initiative is in the area of Maritime Course Training. This is promoted as a community initiative geared toward improving livelihoods near the company's ship loading facility at Likoni. Toward this end, base resources donated a fishing boat and fishing equipment to the Likoni Beach Management Unit ("BMU"). It has also facilitated attendance of 50 members of the BMU at the Dar es Salaam Maritime Institute in Tanzania to receive training in fishing and marine safety. The company's investment in this initiative is said to total 14 million shillings (US$136,000).

On the initial CSR programs pursued by Tiomin (K),[5] a study found that the various CSR activities fall below the expectations of the local communities, especially when these were compared with the assets they had lost to the project [47]. The now increased CSR activities seem to suggest that lessons from the past have been learn. What remain unclear are the community's sentiments toward these expanded programs. Research of this is necessary as it has been found that at times what is on paper is actually not being substantiated on the ground [36, 37]. This then begs the question: should CSR be legally regulated? The following section examines this conundrum.

6. Legislating corporate social responsibility (CSR) activities

The relevance of CSR in the mining sector is not in doubt ([40], p. 239). However, in spite of this, CSR in Africa largely remains a voluntary undertaking. This is even more evident in the

[5]Tiomin Resources was the leading titanium mining firm in Kwale between 2002 and 2010. It changed its name to Vaaldiam Resources in early 2010. Its operations in Kwale were acquired by Base resources of Australia, who bought this concern (from Vaaldiam) on 30th July, 2010. For the CSR activities pursued by Tiomin, see Tiomin (K)'s document entitled District Compensation and Resettlement Committee (DCRC) [49].

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mining sector. It is perhaps because of this that CSR activities in the mining industry have had a questionable reputation for social responsibility ([34], p. 275). The voluntary nature of CSR makes many extractive companies in the mining sector opt to do just enough to appease the host government that it is doing something along these lines. Some scholars have termed this as the practice of obtaining a "social license" to operate. In Africa, South Africa stands out as the only country with a large extractive industry to have an explicit law that regulates CSR activities. This is the Mineral and Petroleum Resource Development Act (MPRDA) backed by the Broad-Based Socio-Economic Charter for the Mining Industry (Mining Charter). These two efforts call upon mining companies to invest in social development and to diversify ownership to historically disadvantaged groups [50]. On the backdrop of colonialism and apartheid, the South African government enacted the law so that CSR can be used as a development tool to address social justice (especially past injustices) and community development [51].

The MPRDA specify the objectives and processes for the Social and Labor Plans (SLPs) that must accompany every mining application. These guidelines form the main regulatory force driving CSR in the South African mining industry. The 2004 Mining Charter demands on the other hand, among other things, 26% ownership of mines by historical disadvantaged South Africans within 10 years. It also enacted a scorecard to monitor company compliance with their SLP requirements. Previous studies have found that existence of regulation has increased the formalization and strategic nature of CSR in South Africa [52]. The studies have also noted that the existence of regulation has led to increased reporting on CSR and the generally increased commitment to CSR. Without a doubt, therefore, regulation of CSR is a good thing.

Other countries also appear to want to follow suit. Kenya is such one country. Previously, mining contributed only 1% to Kenya's Gross Domestic Product (GDP) [53, 54]. The recent discovery of titanium in Kwale, gold deposits in Trans Mara, coal in Eastern province of Kenya, and oil deposits in the Turkana basin in Northern Kenya has now placed Kenya among the great mineral nations in the world. The 2016 Mining Policy[6] and the new 2016 Mining Act (that replaced the archaic 1940 mining act inherited from the colonial government) seeks to address past and present concerns over problems associated with mining extraction. The mining policy sets out the aspirations of the Kenyan government with regard to mineral development in Kenya. Much of the objectives in mining policy have been translated into law (the enactment of the 2016 Mining Act[7] is a case in point). In the said Act, regulations resolved the contentious issue of royalty as, under Section 183 (5) royalties are now payable and are distributed as follows: 70% to the National Government; 20% to the County Government; and 10% to the community where the mining operations occur. The new act retained the government rights over minerals and the forceful taking of community land for mineral development. With this proviso retained, it will not be surprising if conflicts over land rights continue, as this has been identified as one of the factors that promote conflict in this sector [36].

[6]Available: http://www.mining.go.ke/images/PUBLISHED_MINING_POLICY_-_Parliament_final_.pdf - accessed 17/4/2018.

[7]Available: http://kenyalaw.org/kl/fileadmin/pdfdownloads/Acts/MiningAct29of1940.pdf - accessed 17/4/2018.

The new Act further affirms CSR as a voluntary activity, as it only recommends that companies should engage in CSR activities. It is this loophole that the Local Content Bill of 2018[8] hopes to seal. Among other things, this bill recommends that application for mining licenses must be accompanied by a comprehensive Local Content Plan (Part IV of the Act), which will address employment and skills development of locals. The plan will include employment and skill development plan, education and training plan of locals, a research and development plan; a technology transfer plan; preference to a local company in the grant of a license or award of a contract with respect to extractive activities, percentage of local equity ownership of extractive industry companies; a financial services plan, and a succession plan for positions not held by Kenyans, among other things. It also suggests a reporting and monitoring framework for each stage of the mining process.

Developing countries present a unique context for CSR strategy, as the role of government is often limited or different from developed countries [55]. The South African and Kenyan case demonstrates that African governments are now flexing their muscles into the realm of CSR. While South Africa already has a CSR law, Kenya has a bill that is very comprehensive in content and one which gives promise to a structured CSR environment in the mining sector.

7. Discussion and conclusion

In the quest for foreign investment, African governments are often accused of bending over backward to accommodate the interest of foreign extractive companies over the interest of its own citizen. In Zambia for instance, the government has succeeded in keeping mining companies happy by meeting their every whim, but in so doing it has been unable to collect a sensible share of revenue or to perform its role as a regulator and protector of the rights of workers and local communities and as a provider of social services [56]. Despite increases in copper prices, poverty in Zambia continues unabated with mining communities being hit the hardest as they have already lost their assets (thereby lost their means for livelihood) through displacement. Similarly, in Kenya, it is argued that the economic crisis allied the state with Tiomin Inc., to acquire mining rights for mining of titanium in Kwale, southern Kenya. In order to attract investment, the Kenyan government offered substantial incentives to the mining company, which limited the potential benefits accruing to the community ([57], p. 8). It is for this reason that mining communities agitate for a share of the profit emanating from the mining ventures. Mining communities clearly face challenges of structured constraints and systemic inequality.

Mining communities expect a certain degree of social services to be provided by the existing mining companies [25]. However, in view of the fact that in much of Africa CSR activities are not legislated, companies are often left at their own device to decide on what CSR programs to run—with often disastrous results. A more participatory approach has been suggested to

[8] Available: http://kenyalaw.org/kl/fileadmin/pdfdownloads/bills/2018/LocalContentBill2018.pdf- accessed 17/4/2018.

remedy this [48]. However, even with local (and government) participation, it is doubtful that if left on their own, companies will actually mount CSR programs that will benefit local communities. The South African case is a good example of how legislation can lead to good CSR practices. Kenya appears to be heading in this direction going by its recent introduction of the Local Content Bill. The bill is currently undergoing the legislative process. As Carroll's CSR pyramid illustrates, to many companies, CSR comes a distant fourth after economic, legal and ethical responsibilities. Therefore, making CSR a legal requirement will increase its importance in the agenda of mining companies and governments.

As observed earlier, mining conflicts in Africa revolve around five issues; conflict over land ownership, over environmental degradation, over compensation for lost assets, over not having a share in the profits emanating from the mining ventures, and over human rights abuses. Since governments will continue to forcefully take land from local communities for mineral development, it is imperative that CSR activities be taken serious if governments and mining companies are to assuage the disaffection of communities over mining enterprises. This is for the reason that in mining ventures one cannot do without the significant other [25]. It is, therefore, imperative for CSR activities to be legislated. This will be in line with suggestions from other quarters that insist that there should be a firm/consolidated policy and legal basis for CSR [58]. This is perhaps the only way through which CSR can succeed in Africa. For as argued:

> *"CSR decisions of most foreign firms …are triggered mainly by legal obligations and anticipated economic gains. By seeing CSR investments as duties rather than morally appropriate discretionary acts, the foreign firms….tend to uphold the barest minimum set of CSR obligations"* ([59], p. 531).

Making it a legal requirement will bring CSR to the center of the company agenda. It is, therefore, time to move CSR from rug four in Carroll's CSR pyramid to rug two as a legal obligation. Once that is done, the next step will be for developing countries to develop their own corporate governance models that consider the cultural, political and technological conditions found in each country ([60], p. 14).

Conflict of interest

There is no conflict of interest with regard to this article.

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Chapter 5

The Institutional Aims of the Public Healthcare System and Its Ethical-Social Action

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Additional information is available at the end of the chapter

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Abstract

In recent years, the reflection on the social role the healthcare company plays has led public opinion, management scholars and the healthcare system themselves to place the concept of ethics at the centre of their attention. Throughout the decades, the doctrine has taken notable steps forward in the definition of the particular version of ethics, that is, business ethics, while at the same time, quite a few healthcare system have begun to equip themselves with instruments for defining and measuring their ethical behaviour (e.g. ethical codes, customer satisfaction tools, complaint handling). Today, in fact, many healthcare systems are fully aware that it is in their best interest to manage their ethics as much as their economy and that it is wrong to consider the commitment of social responsibility within the government only as a purely moral concern (and therefore, in some ways, optional). Today, the healthcare system is given a new role by the society, which stands side by side with the by now "institutional" role of producing goods and services while creating welfare: it thus becomes an organism that must behave more responsible in satisfying human values. It becomes a cell that works in a synergetic manner within the larger macroeconomic system.

Keywords: ethics, social responsibility, public healthcare system, business, management, stakeholders

1. Introduction

In recent years, the reflection on the social role the healthcare system plays has led public opinion, management scholars and the enterprises themselves to place the concept of ethics at the centre of their attention [1]. In this sense, the theme of ethics and its effects on business performance have revealed all of its problematics. Much written work and research have been carried out that attempt to contribute to an explanation of the relationship between subjects that are typically philosophical and humanistic and ethics and another more pragmatic and quantitative one, the profit-seeking management of an enterprise [2].

Since the 1990s, the doctrine has taken notable steps forward in the definition of the particular version of ethics, that is, business ethics, while at the same time, quite a few enterprises have begun to equip themselves with instruments for defining and measuring their ethical behaviour [3].

The underlying reasons for explaining the investments of the healthcare system in this direction are still the subject of ongoing investigation, but the clues that identify the true prearranged and sought-after purpose in the growth and legitimacy of their reputation are precise and consistent while not omitting the inevitable and fundamental necessity for the enterprise to generate profit [4].

Today, in fact, many healthcare companies or systems are fully aware that it is in their best interest to manage their ethics as much as their economy and that it is wrong to consider the commitment of social responsibility within the government only as a purely moral concern (and therefore, in some ways, optional) [5].

Healthcare systems have taken different paths in identifying, improving and communicating their ethical behaviour. So, alongside ethical codes, the entire sections of periodical reports have emerged publically in order to ascertain the progress of the enterprise on the path to social responsibility [6]. Business ethics improves the image and credibility of the company towards the community. Ethics also represents an element that creates value in the conduct of the business.

Since ethical behaviour represents a state of being of the individual in the economic-business institution, as well as the result of personal values and of the belief in the values that the enterprise has given itself in order to operate correctly, its nonquantitative, but rather purely qualitative connotation is evident. Nevertheless, the return in terms of image, credibility, loyalty, customer retention and fairness allows the identification, in proper corporate behaviour, of a factor in the creation of value for the enterprise [7].

On the whole, therefore, the translation of the ethics of the enterprise in precise strategic objectives leads to defining its social strategy. Today, the healthcare system is given a new role by the society, which stands side by side with the by now "institutional" role of producing goods and services while creating wealth: it thus becomes an organism that must behave more responsibly in satisfying human values. It becomes a cell that works in a synergetic manner within the larger macroeconomic system [8]. Each arrangement, consequently, in addition to an economic function, must also fulfil a social function, through the right balance between the specific interests of single productive units and the general interests of the entire community. It is, therefore, from the attempt to meet the demand and the requests coming from the external environment, compatible with internal needs, that the origins of the ethical character of the healthcare system arise [9], which can be considered as an added value for the system.

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2. The relationship between the healthcare system and ethical values

The healthcare system is an economic institution that carries out the instrumental function of the production of goods or services (e.g. diagnosis, treatment, rehabilitation, long-term care), essential for the satisfaction of needs. This means that it is construed as an institute of the social system, formed by a plurality of elements, instrumental in the resolution of problems connected to economic activity; as such it manifests behavioral rules and the institutional aims of creating lasting value [10].

The aim is justified by the observation that only the creation of value allows the healthcare system to endure. In fact, each enterprise, by organizing and implementing production, must try to use the acquired and available resources, in an economically efficient manner, creating products or services whose value, as assessed by market prices, is greater than the value of the resources used [11].

Value is created, therefore, when the benefit, incorporated in the products or services generated, is greater than the benefit consumed in the transformation phase.

In this way, the placement on the market of the products or services created, at an appropriate price, allows for the suitable compensation of all the production factors, including the production factors originating from capital and labour and the recovery of the financial resources to be allocated towards the buyback of the resources, necessary to reproduce the production cycle.

The centrality assigned to the aim of the creation of value is further developed, when taken into consideration that, in carrying out the instrumental function of production, the healthcare system represents a stable institution, equipped with its own structure and purpose. And as a permanent structure, it tends to perpetuate its own existence through the continuity of productive processes that only the long-term creation of value can ensure [12].

The characteristic of continuity is connected to that of autonomy, intended as the ability to find management conditions which determine a balanced operation, in such a way as to respect the long-lasting development constraints of the production activities. In this sense, the concept of autonomy is a qualification of the character of continuity.

The institutional aim of the creation of value requires, furthermore, the observation of the conditions of economy, that is, the ability to compensate and remunerate all the productive factors used, such as instrumental goods and services, and to reach a cash flow balance, in order to allow for the continuous succession of the productive cycles.

The aim of long-term creation of value, through the postulation of continuity and autonomy, introduces two elements into the analysis: future projection and the concept of a system. Enterprises are usually not founded with the sole purpose of carrying out a single economic operation of a speculative nature, but rather to become a complex economic unit, organized to fulfil productive processes over a long time span.

The irrefutable fact that the activities of an enterprise are projected into the future entails, though, that decisions are adopted in a state of uncertainty, given the variability of the conditions in which they are carried out. The investments required for carrying out productive cycles and the placement of the products or services rendered, in fact, occur based on trade relationships whose determinants depend upon market conditions, only partially influenced by the negotiating skills of the enterprise.

The possibility of creating wealth is moreover subordinate to the ability of combining productive resources in an efficient manner.

Consequently, the periodical results of the production activities must be assessed, ex ante, as expected and possible, and ex post, only in the perspective viewpoint, as necessary, but not sufficient to guarantee the ability to preserve capital and income prospects in the mid- to long-term time frame.

The conditions of uncertainty, in essence, undermine behaviour geared towards obtaining the maximization of result in a short period, while it steers decisions towards a constant search for solutions to better safeguard and develop the financial structure, intended in its broadest sense, including even untapped resources in the quantitative datum, given their immateriality and non-transferability [13].

The meaning of these assertions can be found in the concept of system, which underlies business analysis.

Every enterprise is, in fact, made up of elements of different matters (material, immaterial), connected by more or less complex relationships. These relationships do not end in static ties, in an established direction; they constitute, instead, dynamic interactions which, if governed properly, modify the quality of the elements themselves, giving the whole a defined uniqueness.

The links between business components are capable of producing a general strengthening of the corporate system, since, by virtue of their actions, they in time settle into better standard procedures and organizational behaviour, gathering knowledge and information and developing experiences that lead to the resolution of given managerial problems.

Within the system, in essence, forces are created that find an expression in the system itself, in that they mature and act in a definite context and are, for this reason, not transferable.

The potential connected to these forces is difficult to assess, as it represents immaterial elements, included mostly in organizational structures, in know-how and in technological knowledge that describe the competences of the participants, at various levels, and relates them to the activity of the enterprise.

Nevertheless, just as these forces can give a decisive contribution to the tendential obtainment of the long-term creation of value, they constitute, if not wisely aimed, hindrance factors.

In fact, the relationships that form within the organizational structure and that involve, above all, a personal component become factors of inertia that limit the push for improvement and change when functionality and integration cannot be guaranteed.

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In this case, conditions of inefficiency and organizational disorder are formed within the corporate system that lead to the loss of economic functionality.

Considering this, it is obvious that the more the intervention of efficient and effective organizational practices becomes indispensable, the more it is necessary to constrain behaviour, fostering relationships that promote the cooperation and sharing of common goals.

But these aims have an implementation perspective only if decision-making processes and operating procedures are developed guided by principles of fairness and transparency [14].

Furthermore, the procedure of corporate governance is consistent with the aim of the creation of value when the systematic use of accumulated resources is stimulated by behaviour that does not deplete with a simple economic trade, profit-driven exchange but creates well-being and satisfying needs.

The search for precision and certainty is based, therefore, on decisions in which rationality is limited—not everything is predictable; not everything is controllable—in which the calculation of pure economic convenience is accompanied by the influence of variables that react in a more complex relational dimension [15].

The legitimacy and the consistency of ethical values develop in this context, in which the reasons for the complexity are prevalent and in which the relevant meaning of the relationships between the components of the corporate system emerge.

Ethical values, in essence, are intrinsic to the enterprise, contributing to guarantee certain presuppositions which are useful to any form of economic activity, such as trust and the practice of behaviour aligned with the rules of general acceptance.

They are formed by the principles of fairness, reciprocity and impartiality by virtue of which the contribution of each is recognized and rewarded, in observance with the agreed upon rules.

The reference to the rules is used to indicate the mandatory norms of a legal ordinance, as well as to customs and, more generally, behaviour that, in a given context at a given time, constitute accepted and valid criteria for the purpose of legitimizing human activity in an economic field.

The combination of the principles of fairness, reciprocity and impartiality gives concreteness to personal conduct, directing choices in such a way as to guarantee to those who contribute to the pursuit of institutional goals the proper reward in proportion to the contributions ceded and in the correct observance of the shared rules [16].

It can be affirmed, therefore, that the healthcare system is ethical when it pursues the institutional goals, intentionally tending to create long-term value, respecting the rules and reacting with fairness, reciprocity and impartiality.

This structuring, based on ethical values within the business plan, permits the resolution of ambiguity that sometimes comes up when business ethics is discussed.

In particular, the observation that the goals of long-term creation of value are a function of the achievement of economy and the harmony between the forces of the corporate system, and of the corporate system along with the higher-level systems that operate in the environmental context, leads to certain considerations.

To begin with, the fact that in the enterprise's divergent, institutional and economic interests converge does not transform the aim of the enterprises that remain anchored, in a social and economic context framework, to the creation of wealth.

The often conflicting claims and demands that converge within the enterprise due to the nature of the activity carried out, attributed to the creation and subsequent distribution of wealth, cause a series of possible conflicts. To ensure that everybody wins, the conflict must be regulated by a mutual recognition of separate requests, through the sharing of ethical values (fairness, reciprocity, impartiality).

This does not mean that the enterprise is transformed into a generic concept of communal good, but that the institutional aim (long-term creation of value) operates within an economic dimension; economic institutions consist of individuals; their enterprises bring in requests, culture, morality and their personal values. Rightly so, one speaks of "the relativity of ethical behaviour in both space and time" [28]. In fact, culture and requests are from different areas and countries with consequential diversity in the behaviour of individuals. Ethics present in a healthcare system cannot be the same that can be found in socio-economic contexts external to it. As the markets expand until they have merged together in a single scenario in which nations or continents represent only a geographical declination, they have consequently reversed the relationships between production and consumption, passing from productive logic to that of satisfying clients in terms of greater services offered, correctness and transparency, but, above all, the importance of image.

The healthcare system is no longer capable of carrying out its activity without taking into consideration its own behaviour. Its outward image has become more and more important, even being, in some cases, a factor of success or failure. Just as analysts require clear technical information in order to correctly evaluate the assets and financial situation, in the same manner, the wider consumer market sees this effort of business clarity more positively, recognizing not only the ability to manage truthfully but above all the greater value tied to the security of facing a subject with whom to negotiate, reducing within negotiations the uncertainty of information.

Transparency is not only external to the enterprise but also internal to it, so much so that there are many cases of change in governance in order to simplify and clarify the relationships between the various people that operate within the organization and all the stakeholders.

The fundamental principles of economic-business analysis confer upon time, and the systematic vision is of importance to analyze the vital processes of the healthcare system.

In this context, ethical values are basic, as, on one hand, they introduce the trust and fairness necessary to cement any relationship into the long term, and on the other hand, they determine indispensable conditions so that the processes of accumulation of technological know-how and organizational abilities are produced in the enterprise, which transform, with time, into economic capital.

The healthcare system is ethical when it pursues the aim of creating long-lasting value, acting with fairness, reciprocity and transparency.

In this way, the enterprise carries out its instrumental function of creating economic goods that are able to satisfy the material necessities of society while at the same time respecting the entirety of the ethical values placed at the base of social behaviour.

Obviously, the modern healthcare system is not asked to do charity work but to face a new challenge: combining profit, which is, in fact, its *raison d'être,* with respect and the safeguard of certain fundamental ethical values, contributing, in a decisive manner, to the economic, social and sanitary development of the entire associated community. Its economic action requires behavioral reliability; ethical values become an integrated part of the model.

Consequently, when it is claimed that ethics is necessary and useful, this means that the diffusion of ethical values contributes towards the long-term creation of value. In this sense, ethics is "worthwhile." The opposite would be true when the appeal to initiatives that try to demonstrate the sharing of proper and transparent behaviour reacts only to the objective of obtaining superficial consensus about corporate policies, hiding the real intention of taking advantage of only the image dividend, and leaves the concrete business conduct unaltered.

Ethical values acquire relevance since they are integral to the characteristics of vital processes of the enterprise; they contribute towards limiting the field of economically convenient alternative choices, by classifying both individual and organizational behaviors that confer upon the corporate system the ability to obtain the conditions of perdurability [17].

3. Business and economic conditions and ethical premises in relation to the healthcare system

Both economics and ethics propose to determine principles of behaviour in human actions, but while the former's principle aim is the activity of production and distribution of wealth, the latter proposes the universal nature of its principles, which become applicable in any context where human actions develop.

Business and economic theory, since its origins, orients itself to the search for the condition of existence of complex subjects such as enterprises, whose continuity is guaranteed not only by economic and financial balance but also by the degree of compatibility between external systems and the internal components, where human activity covers the nature of centrality more and more [18].

The importance of a functional dialog between ethics and the world of enterprises emerges even if the analysis is incorporated in productive organizations, considering the profound transformations that confer new characteristics and modify traditional structures. It is now an established option to attribute the origins of these changes to two factors: the integration of the markets and technological innovation.

The business activity, in essence, develops, in the present context, through a complex network of internal and external relationships, which are indispensable in reaching a balance. The effectiveness of these relationships is based on the recognition of corporate governance bodies of other members that with their contribution and sharing of the entrepreneurial project, a decisive contribution to its implementation is conferred [19].

Given their specificity, it deals with relations that emerge based on elements which are not reducible to only a calculation of economic convenience but presuppose reciprocity and trust that only open behaviour, not conditioned by mere speculative objectives, can guarantee.

Entrepreneurial action is qualified, therefore, by the ability to make adequate decisions in this new reality, which fuels the appeal to relationships and ties whose effectiveness cannot be separated from commitments that take shape in an external dimension from the economic sphere.

This reasoning leads to the question that makes the basic query about the compatibility of ethics with the dictates of the economy and, in particular, the enterprise activities even more sensitive today [20].

Looking at the healthcare system and the economy, by virtue of the intense innovation and of the powerful productivity achieved by the businesses of production (i.e. when caring for those in need), which constitute the principle instrument in exercising economic activity, has determined a rapid and intense growth of the wealth produced. The circumstances that have favored this result are multiple and of a diverse nature, for which each summary claims risks compromising the perception of the ample variety of causes that have competed. Here, one cannot neglect to expose at least two motives that together have produced a sharp rise in yields: the notable advantages that are obtained by the division of labour, applied in healthcare systems according to organizational plans oriented towards efficiency and effectiveness, and the constant use of productive factors according the principles of rationality.

The business world, furthermore, is where new basic scientific discoveries find application and where new technological innovations are constantly experimented, in order to transform these investments into better evolved products or services [21].

Together, these elements feed the constant rise of production and the diffusion of goods available for the satisfaction of needs and consequently the increase in the level of wellness.

But it is the great dominating potential of the healthcare system as it carries out activities that allow certain possible distortions to emerge.

This refers to the possibility that the decisions of the corporate bodies, keeping in consideration the force and efficiency acquired by the production systems, end up conditioning the use of resources and the development of social choices.

In fact, the instrument enterprise, organized starting from planning abilities and risk tolerance brought into play by the entrepreneur, is capable, by now, of blurring the satisfaction of needs, traditionally described as the origin of the economic activity. This means that, in reality, the sequential verification implied is not always given to that aim, need—economic activity—satisfaction. Considering the healthcare system reflecting the business world, in fact, it produces goods and services in a quantity and with qualitative characteristics that are so intensely differentiated as to induce, based on their own decisions, the progressive expansion of the scale of needs that run parallel to the markets, influencing behaviour and lifestyle, as well as the use of resources.

For example, the substantial product capacities acquired by the healthcare system are reflected in the employment markets, where, symbolically, the use of advertising tools of persuasion presses the absorption of consumer goods. Accordingly, the enterprises help to dictate the values and attitudes of the consumers, indicating socially accepted behaviors and are able to give a common meaning to human actions [22].

But the influence that the economic activity has in the position to exercise may lead to the temptation to tie to its own logic other dimensions, so that, when the recognition of ethical behaviour is missing even in developing corporate decisions, it poses a double risk. On the one hand, one of a corporate systems that is deaf to any other request that is not justifiable by economic convenience, placing itself in this way as a hindrance factor towards the search for modes of government that are fairer, more transparent and compatible in their use of resources; on the other hand, the danger of progressive reaction on the part of social interaction becomes more concrete, which would ultimately lead to the denial of autonomy of business choices, burdening the economic activity and, in the business in particular, of inaccurate aims as the exclusive search for profit.

In this last case, reducing the impact of the business activity would ultimately lead to increased external responsibility being assigned to create and distribute socially recognized wealth, subduing the economic aims of requests of a diverse nature and compromising the dynamic role carried out until that point.

Finally, beginning with these reflections and considering that the subject Business Administration studies conditions of existence and the manifestations of the life of the business, analysed in their economic dimension, one poses the question how ethical the embedded requirements or provisos are and the manner of reaction.

In relation to the conditions of existence and to the manifestations of life, ethical principles can alternatively depict either necessary or consistent presumptions with the attainment of economic objectives, or they can represent moral ties in conflict with these aims. In the first case, ethical choices become an ulterior instrument to protect balance in the long run (so-called strategic ethics), and in the second case, the decisions of the government bodies must be adopted in respect to moral obligations (so-called absolute ethics) [23].

4. Ethical behaviour as a business asset in the healthcare industry

The changes that have occurred in the economic context in recent times have been influenced by rapid technological processes and by an increased competitiveness, which has prompted the healthcare industry to review their own models of business conduct and of economic and financial communication, focusing on their investment choices of growing stocks of knowledge and innovation. This is how an economic activity characterized more and more by intangible elements, such as the exchange of ideas, information and advanced services between the enterprise and external society was asserted.

From the first definition of enterprise, the economic nature and the social role that the institute has had since its foundation have always been joined together [24].

The evolution of its role in the modern world is putting into play certain base characteristics. For decades, the healthcare industry has been considered the best economic and social institute to create and distribute welfare. Through its constant effort to increase profits, it has inevitably brought about social changes a consequence of the structure and activity that it has carried forward.

All those who, with different interests, have found themselves participating in production activities and the sale of goods are inextricably tied to its fate and decisions.

As the years go by, social change continues, but above all, the awareness on the part of the shareholders and management of the role of other stakeholders in the production has lead, inevitably, to a rigorous review of the entire organization of the enterprise; above all it has given rise to a new way of thinking about the people that gravitate around the enterprise, by broadening and putting together the different interests of all the participants for its success. The novelty of this approach in respect to the past was to include among the beneficiary of the business performance not only the shareholders or more in general the providers of capital but all those who, in various capacities, participate in the business activity and without whom the institute itself cannot exist nor prosper. For example, the worker is entitled to a productivity bonus at the end of the year for the results achieved.

In this model, the healthcare industry is depicted not as a place in which a series of market transactions occur, but as a cooperative effort that involves an ample number of individuals and organized groups in various ways.

This is totally different to the role of those who are called on to influence, with their decisions, the progress and success of the enterprise. One no longer speaks of only generating profits to remunerate the capital risk of the shareholders but of specific responsibilities towards all those who concretely contribute to the activity and the survival of the enterprise itself.

From these considerations comes another more relevant one: the relationship network between all the participants present in the enterprise which represents an element that is capable of creating value. Certain important studies have demonstrated a strong correlation between good relationships between the stakeholders and the success of the enterprise; the fact that such a relationships exists offers empirical proof of the existence of a link between social performance and financial performance [25].

In all healthcare systems, the comprehension of ethics, the fact that it is made up of shared values, gives full meaning to the system of business "values" and facilitates their translation into concrete behaviour.

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The ethical challenge for management consists, therefore, in trying to satisfy the legitimate demands put forward by a variety of stakeholders in the enterprise, obviously including the owners as well.

The basic reason for this principle is traceable in a hypothetical "contract" between society and the healthcare system, though the first authorizes the second to structure itself as such in exchange for the promotion of social well-being.

Adopting this view implies, therefore, that favorable and mutually advantageous relationships between the stakeholders are considered elements of consolidation and growth for the healthcare system's value and represent, in this view, major assets, namely, goods that generate new and greater wealth in the future.

Long-term value of the healthcare system will depend, therefore, principally on the knowledge, the ability and the commitment of its employees and, consequently, on the relationships with its investors, consumers and all the other subjects that participate in various ways in the activity of the enterprise.

The healthcare system's ability to establish positive relationships with all the affiliate members generates a competitive advantage in terms of risk reduction, innovation, reputation and the opening of new markets and opportunities. For this reason, then, managers, who by their activities represent the system as a third party, appear to play a key role.

Their responsibility resides in the ability to establish, with all the stakeholders, relationships so as to combine the different interests in a united and coordinated framework that acts as a cooperative network in the production of wealth. Described like this, the role of the manager is a constituent element of trust, intended as social adhesive that permits all the relationships that cannot be fully defined in contractual terms.

It is something which allows the members of the organization unit to trust each other reciprocally and to collaborate without depending on detailed negotiations; it is underpinned by shared values, that is, cultural norms that contribute to defining the organization.

> *"Shared values are an important asset to the corporation; they are the communal foundation on which cooperation, collaboration and the solution to conflicts can be based on and the reciprocal benefits achieved"* [26].

Obviously, until the values can be shared, they must be acceptable by and objectively correct and well integrated in the vision and mission of the healthcare system. In such a context, the importance of an ethical profile of the people that together generate and give life to the business activity can be inserted [27]. Their moral behaviour presents itself as the ultimate results of the positive union between shared values and its correct application, between credo and action. The possibility to prosper and generate wealth derives more from the exponential synergy that is generated by the shared cooperation between those who invest more in value of activity, than by the pure application of economic principles.

The behaviour of the management must, in fact, model the organizational context by building, effectively, a feeling of trust in the ethical value with a simultaneous translation into the activity. Management is the true subject capable of setting an example of fairness and correctness of the basic values of the business culture. Its leadership is based on the reputation that it has towards employees, clients and suppliers. Behaviour is therefore that which, effectively, can modify the values of the healthcare system, affecting the modes of perception themselves. The link with business performance is undeniable.

The virtuous processes put in place in respect to moral behaviour can be interpreted and then, as fundamental elements of business assets, valid for the creation of value.

5. Conclusion

The considerations proposed, even if remaining on an abstract level, permit the emphasis of some of the critical points related to the links between the mostly economic function carried out by the healthcare system and the problems of ethical and social relevance that emerge as a consequence of decisions made by corporate governance.

Ethics, in reality, is neither a norm nor a precept but, as opposed to an abstract idea, emerges from the ability to recognize value and to not confuse it with price.

Reality, therefore, by now demonstrates how ethics and profit, in the long term, are fundamental elements for the success of an enterprise, two concepts inextricably linked by a single complex civil and economic merit.

The term "business ethics" is often spoken about as if to indicate a series of behaviour within a closed system. The enterprise is not, though, a closed system. Rather, it is open to the environment in which it exists and with which it interacts continuously. For this reason, the level of ethics that it can reach is directly correlated to that of the environment in which it operates. It is precisely by the continuous exchange between environment and enterprise that an "ethical model" can be created [28].

Since economic institutions consist of individuals organized among themselves, enterprises bring in requests, culture, morality and the values of the people involved. Rightly so, one speaks of ssthe relativity of ethical behaviour in both space and time" [29]. In fact, culture and requests are from different areas and countries with consequential diversity in the behaviour of individuals. Ethics present in the healthcare system cannot be the same as that found in the socio-economic contexts external to it. As the markets have expanded until they have merged into a single scenario in which nations or continents represent only a geographical declination, they have consequently reversed the relationships between production and consumption, passing from productive logic to that of satisfying clients in terms of greater services offered, correctness and transparency but, above all, the importance of image provided by the health system regarding the satisfaction of health needs.

The healthcare system is no longer capable of carrying out its activity without taking into consideration its own behaviour. Its outward image has become more and more important, even being, in some cases, a factor of success or failure. Just as analysts require clearer technical information in order to correctly evaluate the assets and financial situation, in the same manner, the wider consumer market sees this effort of business clarity positively, recognizing not only the ability to manage the system correctly and truthfully but above all the greater value tied to the security of facing a person with whom to negotiate, reducing discussions to a minimum of informative asymmetries. Transparency is not only external to the enterprise but also internal to it, so much so that there are many cases of change in governance in order to simplify and clarify the relationships between the various people that operate within the organization and all other stakeholders.

The fundamental principles of economic-business analysis confer upon time and the systematic vision an essential importance to analyze the vital processes of the healthcare system.

In this context, ethical values are basic, as, on one hand, they introduce the trust and fairness necessary to cement any relationship into the long term and, on the other hand, they determine indispensable conditions so that the processes of accumulation of technological know-how and organizational abilities are produced in the enterprise, which transform, with time, into economic and social capital.

The healthcare company is then ethical when it pursues the aim of creating long-lasting value, acting with fairness, reciprocity and transparency.

In this way, the enterprise carries out its instrumental function of creating economic goods that are able to satisfy the material necessities of society while at the same time respecting the entirety of the ethical values embedded in social behaviours.

Obviously, the modern healthcare system is not asked to do charity work but to face a new challenge: combining profit, which is, in fact, its *raison d'être* with respect and the safeguard of certain fundamental ethical values, contributing, in a decisive manner, to the economic, social and sanitary development of the entire associated community.

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Chapter 6

Corporate and Consumer Social Responsibility in the Italian Food Market System

Flavio Boccia and Daniela Covino

Additional information is available at the end of the chapter

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Abstract

Nowadays, the modern consumer is paying more and more attention to the consequences of purchasing decisions in terms of social, ethical and environmental aspects. In the Italian food system also, the purchase of products requires consumers' decisions that are increasingly dependent on factors linked not only to quality/price relationship but also to issues of production, the environment, human and animal rights. The aim of the chapter is to offer a view of the relationship between Italian consumers and their social responsibility; to show the role of corporate social responsibility on food production (where the basic instrument of CSR, social audit, is only still a voluntary business choice) and to underline knowledge and importance of it to consumers and their willingness to purchase the products of ethically oriented companies. This chapter is based on empirical research: 933 city-based families filled in a survey. The most important points emerging from this study were that consumers' lack knowledge about responsible corporate initiatives or do not trust them, but also that quality and affordability are important.

Keywords: corporate social responsibility, consumer social responsibility, consumer behavior, food safety, marketing strategy, animal welfare, workers' rights

1. Introduction

The debate on corporate social responsibility (CSR) is not new: firms tend more and more to sponsor social, environmental and charitable activities to improve their image, but it does not always benefit consumers. Modern consumers pay much more attention to social problems than previously and require that firms do not operate only in accordance with profit logic, but also take into account social and environmental considerations. The European Commission has defined CSR as the responsibility of enterprises for their impact on society, and it is important in the agri-food system above all. CSR should be company led. Public authorities can play a supporting role through a smart mix of voluntary policy measures and, where necessary, complementary regulation. Companies can become socially responsible by: following the law; integrating social, environmental, ethical, consumer and human rights concerns into their business strategy and operations.

In Italy, in recent years, CSR started as a response to new consumption paradigms interesting to our society which, in times of globalization of production processes, sees the eradication of the enterprise from the area of production and an increased need for the same to make its way of acting visible; however, social audit (the basic instrument of CSR) is still a voluntary choice, unlike in other European countries. CSR contributes to value creation and is therefore able to generate a competitive advantage for the company; it should not be considered as a cost, but as an element that, when integrated into corporate governance, positively affects the performance of the company and its competitiveness by improving its development prospects in a long-term perspective and, at the same time, by reducing the risk profile. In this way, CSR can be considered a true corporate philosophy or a direct decision as strategic response to major competitors' actions or a marketing policy for offsetting past immoral behavior toward consumers.

The main functions of a company entail the creation of value through the production of goods and services, generating profits for its owners and for its shareholders, as well as wealth for the company, in particular, through a continuous process of job creation. Firms are aware of the possibility of contributing to the sustainable development of society, managing their operations in a way that strengthens the economic growth and competitiveness without harming the environment, neither fleeing from their social responsibilities nor neglecting the interests of the consumer. In this context, an increasing number of firms has adopted the concept of social responsibility in the following ways: by adopting a socially responsible behavior beyond the legal requirements; by taking into account the economic, social and environmental impacts of their activities; by considering social responsibility not as an additional element to fundamental activities, but as correlated with the type of business management.

Companies disclose their socially responsible initiatives through the adoption of social, environmental and sustainable audit and reports, that is, through the reporting of CSR activities that they have spontaneously launched. It is the practice of adopting socially responsible management systems (management of the environment, human resources, suppliers, information security and accuracy). Certification by third parties is also very widespread. In this context, it is possible to understand the importance of environmental compatibility brands and quality brands; in the financial field, the ethical investment funds, rating and development are important.

2. The evolution of national context: corporate social responsibility

In Italy, social audit, the basic instrument of CSR, unlike in other European countries, is still a voluntary choice and not a legal obligation. Social audit is a public document drafted periodically and addressed to social interlocutors who, directly or indirectly, are involved in activities of the company. Therefore, the recipients of social audit are all stakeholders and the community at large; information on social outcomes helps create and spread a certain reputation of the company that is able to encourage dialog with all the stakeholders [1]. This term refers to an individual, a community or an organization that, directly or indirectly, influences the operations of the company or suffers its repercussions. Stakeholders are, therefore, all those who have an interest in the activity of the company which allows a better functioning of it. As a matter of fact, the company is part of a network of interactions and relationships, exchange with multiple social interlocutors, capable of influencing, in a positive or negative way, the destiny of the company. Only a careful management of this system of relationships allows the company to obtain the resources and contributions essential for the prosecution over time of the activity and the realization of its purposes.

Therefore, companies do not limit themselves to undertake CSR, but often choose to make the stakeholders aware of such conduct, in an attempt to improve the corporate reputation and business results. Therefore, it permits a synergy between businesses and consumers: consumers' choices affect companies' policies, which (if properly communicated) are able to influence purchases. Considering the profile of modern consumers (careful of the consequences of its purchasing decisions in terms of social, ethical and environmental aspects), it is possible to identify the role of CSR for consumers through a study on critical, ethical and responsible purchase of products [2]. In this context, a wide range of factors are able to contribute to a positive reputation, including accounting measures of profitability and risk, market value, media visibility, institutional stock holdings, dividend yield, firm size and demonstration of social concern (but also other reputational factors, including customer satisfaction, stakeholder familiarity, corporate campaigns and corporate citizenship programs). Nowadays, consumers are more sophisticated than 30 years ago, thus, they may have a different understanding and awareness of CSR, and in this way, they might prove to be more receptive to a different style and approach to corporate initiative and communication. If it is correct, the changed features of consumers are possibly more distinct and noticeable considering the older and younger generations or differences in genders: which is what this study focuses on. In other words, an intent of this study was to either confirm or not a role in people's perception of proper ethical conduct of factors such as age or gender through the proposed statistical methodology.

In this context, ethical marketing becomes the function linking the company and the market through the synthesis between ethical decisions and economic consequences, respecting in any case the interests of the various stakeholders. In Italy, for historical reasons deriving from the importance of the cooperative movement, as well as for structural motives, given the prevalence of small and medium enterprises, the sensitivity toward the context of social relations in which companies operate, constitutes a significant part of the national economic system. In the beginning of the new millennium, the Ministry of Labor and Social Policies launched the CSR-social commitment project aimed at the development and promotion of social responsibility. The project is based on a voluntary approach to CSR the companies elect and aims to promote the culture of social responsibility within the socioeconomic system and to increase awareness of sustainable development. In this way, it is possible to provide a response to information requests on CSR made by the stakeholders, pursuing the European Commission's goal of identifying a common language and reference framework [3].

The project assigns importance to the diffusion of ethical behaviors among companies, but what characterizes it is the widening of this vision through the dimension of social interventions, called social commitment, which has the aim of promoting the real participation of companies in supporting national and local welfare system according to a modern logic of public-private integration [4]. In particular, the role of the government is to identify areas of intervention, that, at a national and local level, require specific action and direct funding on priority projects [4]. Companies can join on a voluntary basis and contribute to the financing of welfare policies, while social intervention is managed directly by the associations and by voluntary work.

Government's objective is to develop the ethical supplementary funds. The standard proposed by the ministry envisages a system articulated on two levels [5]: the first level, called CSR level, easy to access and articulated on the basis of already known schemes (e.g., the International Organization for Standardization approach), has the main purpose of promoting the culture of social responsibility; the second level (social commitment level) requires the company to co-finance social projects in order to benefit from tax bonuses and facilitates access to the financial market through ethical funds. For companies wishing to participate in the reward system, an easily usable, simple and innovative tool was developed: the social statement. This is a self-assessment device for social responsibility activities and a support in the drafting of a report whose objective is to guarantee transparency of performance in the field of social responsibility.

Lastly, the Ministry of Labor and Social Policies established within the framework of the commitments undertaken in the context of the Third European Conference on Corporate Social Responsibility, the Italian multi-stakeholder forum for corporate social responsibility [6]. The initiative was to encourage the dissemination of CSR among Italian companies and organizations by increasing the level of awareness of the importance of relations between CSR and sustainable development; facilitate the exchange of experiences and best practices; promote transparency and convergence of CSR practices and tools, with particular attention to the needs of small- and medium-sized enterprises, and, lastly, to promote the sharing of partnership experiences between institutions, companies and organizations and civil society.

3. Consumer social responsibility

With socioeconomic progress, there has been an increase in household incomes followed by demand increase and differentiation that have stimulated the transition from a craft production to an industrial production, stimulating in turn a profound innovation of products and processes [7]. Environmental protection, seen as a capital belonging to all humanity, has made it possible to develop consumers' sensitivity toward their assets, particularly toward food products: sensitivity especially forced by scandals that have interested the agri-food sector, particularly in recent years.

Nowadays, the subjective component of the demand attributable to the preference of the consumer is subordinated to cultural and natural factors, level of education, age, and social context that takes a leading role in the market [8]. The consumer, with his/her preference and his/her taste, is able to modulate the demand and, consequently, the market itself, structured on the basis of the variables on which the consumer focuses, ranging from quality/price ratio, to packaging of the product, to ethics of workers' rights, ecology, respect for the environment, diet, health, and so on [9].

A scenario which highlights that a consumer, with the purchase of the product, tends to satisfy more needs than in the past, ranging from food safety, in terms of compliance with hygiene rules and nutritional properties, to sustainability, in terms of use of renewable resources during the production process and in relation to respect for the living conditions of animals [10]. Lastly, as already stated, there is also the interest for safety in the workplace and the respect for workers' rights [10]. Furthermore, emphasis is placed on the dynamics of the consumption of quality products, expression of a growing 'modern consumer' sensitivity toward nutritional and ethical content: a post-modern consumer, considered as one of the main stakeholders of the company because, compared to the past, s/he chooses, buys, uses products and services in a conscious way.

The level of wealth that has characterized Western society leads individuals to make informed purchase choices, based not only on affordability, but also on issues such as quality of life and responsibility toward future generations [11]. The modern consumer becomes 'gatekeeper of the market' through actions that can be negative, positive, individual or collective: as a consequence s/he asks the companies for increasingly high quality and ethical standards. The figure of the modern consumer, that is, much more critical and careful toward the products and services offered by the market, it is one of the most significant transformations of Italian consumption patterns in recent years. This means that we are faced with a new subjectivism of consumption especially in the agricultural and agri-food sector.

4. Social and economic development

In this context, the sociodemographic changes connected to economic development, product and process innovations [12] have pushed consumers toward an increasing sensitivity in terms of the safety of food. This sensitivity has been sharpened by food scandals and health emergencies that have hit the agricultural and agri-food sector on a global scale in the years between the old and the new millennium [13].

However, not only the food risks are important, but also the tendencies and sensitivities spread toward issues closely related to food and its processing (that includes the treatment of raw materials, the phases of preparation and the packaging of the product), from ecosystem pollution to biodiversity loss, from the conditions of animal breeding to genetic manipulation and from the new forms of labor exploitation to the increase in social inequalities [14]. It follows that the subjective component of the demand attributable to personal consumer's taste, considered enduring in the past, now is highly influenced by factors of a cultural and sociodemographic nature (education, age, social context), taking a leading role in the market. This component allows a better interpretation of the demand (not just the food one) and its transformation, since the traditional explanatory variables (price, relative prices and income) are no longer sufficient [15].

For at least three decades, markets have been structured according to the different variables that consumer can converge each time: affordability in terms of price, opportunity of purchase, ease of use, durability, packaging, quality, ecology, ethics, respect for workers' rights, pleasure, health, diet and gluttony. In Italy, a scenario is evolving in which the citizen-consumer is driven to look for food products to satisfy a multiplicity of needs [16]. These needs range from food safety, in terms of hygienic and nutritional characteristics, to environmental sustainability, in terms of prevalent use of local and renewable resources, of the use of natural products and processes and of the respect of living conditions of farmed animals, up to a whole series of ethical components, from workplace safety to workers' protection, from social cohesion of the community to the enhancement of rural production areas and local food and wine traditions.

The evolution of Italians' eating habits and consumption in the last 40 years has enucleated the characteristics and the main economic indicators subdividing them into five stages, each corresponding to just as many periods (source: Istat data—the Italian National Institute of Statistics) [17]. From the post II World War period until the 1970s, it is possible to observe: progressive satisfaction of basic needs; consumption grows by about 300% in real terms during 15 years. Then, income increases; consumption and savings grow; food consumption at home dominates; almost 50% of the households have two income earners; food expenditure is one-third of the total expenditure. During the 1980s, income increases; the new acquisition consumption starts; food consumption experimentation shows new trends, signs of excesses as income rises further. Later, as financial incomes take off, consumption continues to grow, including food consumption, but at a slower pace; the organized large-scale distribution develops (supermarkets, ipermarkets, etc.); about 50% of marketing takes place through the organized large-scale distribution. In the end, since 2000, the race to high levels of consumption stops; attention to quality, safety, eco-social impact grow; eating out counts like eating at home; the organized large-scale distribution is the main sales channel; there is a reduction in the per-capita spending. The latter can be related to the global economic crisis.

5. The responsible purchase of food products: an empirical study

After presenting an overview of the theme of social responsibility and its related issues in the Italian context, from different institutions' point of views, companies' and consumers' perspectives, in this section, the important issue of agri-food is deliberated using an empirical position. Here, our own quantitative survey conducted on Italian consumers is discussed, in order to try and understand how Italians consider their relationship with the theme of social responsibility. We explore the manner in which they interact with companies, in particular, agri-food companies and their products. Therefore, a survey is presented (based on a previous study [18]), aimed at analyzing the responsible consumption in general and in relation to particular ranges of products. The analysis was conducted with the computer-assisted web surveying method (online questionnaires) considering a representative sample of 933 families of 1000 functionally chosen for the purposes of the work and distributed equally among the main Italian cities such as Milan, Rome and Naples. It represents a detailed study to try to better understand the perception of consumers regarding types of little known food products. This study can generally be considered similar to eco-compatibility or responsible consumption issues.

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5.1. Consumer survey: objective and methodology

The research has set itself the objective of investigating in detail the role of social responsibility of the company in relation to the impact that it can have on consumption of agri-food products. We take into consideration the knowledge and opinion that buyers have about the product. The analysis is also aimed at highlighting the importance that consumers give to corporate social responsibility when purchasing agri-food and the receptivity of consumers toward the sustainability strategies implemented above all by the main companies of the sector.

The degree of knowledge of particular categories of food products other than conventional (organic, fair-trade, genetically modified, etc.) was also measured and, lastly, the readiness of consumers to buy products of ethically oriented companies was measured, even when involving a higher payment. The research was carried out through the administration of a survey aimed at investigating preferences, behavior and participation regarding the theme of responsible consumption.

In this context, in order to formalize the research, three factors that play an important role in determining consumer behaviors were identified: knowledge, attitude and behavior that could influence the consumers' behavior toward CSR. The important meaning of the variables also stems from their role in other studies [18] that have focused on knowledge, attitude and practices or perception or training needs. The formulated research hypotheses are as follows:

Hp1: Attitude is positively related to Behavior;

Hp2: Knowledge is positively related to Behavior.

5.2. Features and results of the survey

The analyzed sample is composed of 46% for men and 54% for women. The considered sample appears to be fairly well distributed also with respect to age. As a matter of fact, 29% of respondents are aged between 20 and 30 years; 28% of respondents are aged between 30 and 45 years; 26% of respondents are aged between 45 and 60 years and 17% are over the age of 60.

With regard to social and age variables, the role attributed to the company can be influenced by level of education obtained and by professional status. Among the respondents, 3% have obtained an elementary school diploma; 11% have obtained a middle school diploma; 50% have obtained a high school diploma and 36% have obtained a complete university degree. Therefore, from this point of view, the criterion was balanced but the participant sample was skewed toward the better educated one.

This situation is similar when the professional status of the sample is assessed. Namely, 16% are self-employed; 21% are employees; 11% are retirees; 6% are unemployed; 19% are housewives and 28% are students.

5.3. Social responsibility and consumer

The results of the survey highlight the different degrees of confidence that consumers show toward the companies that control the production, the management and the distribution of agri-food products. The analysis showed that the majority of respondents, 97%, do not have confidence in companies (considering also those who have a limited trust) (**Figure 1**). The level of distrust grows with the increasing of the levels of education; as a matter of fact, 33% of graduates showed they lacked confidence in companies. Those who show a greater degree of trust are, instead, those who have obtained only an elementary diploma or a middle school diploma.

The theme of social responsibility is certainly not new, even if only in these last few years, it became more widespread among consumers, who are becoming more and more interested. Nowadays, there are many companies that make considerable efforts to understand consumers' preferences, not only in relation to their actual consumption needs, but also with respect to initiatives considered fundamental in terms of CSR, since it represents fundamental information for the company in order to change its market strategies and achieve the best results.

The survey showed that the percentage of consumers who are aware of the role played by socially responsible business initiatives, within civil society, is still too low: namely, most of the sample, that is, 57% of participants (**Figure 2**) has heard about it for various reasons. We find 25% of graduates being informed; however, better informed are those who are aged between 30 and 45 years (15%) and between 45 and 60 years (24%). This shows that younger people are not well-informed and too little concerned with relevant issues such as social responsibility, despite the level of education achieved.

In recent years, companies' charitable initiatives have considerably increased. The companies tend to sponsor social and environmental initiatives, or solidarity ones, to improve their image to the eyes of consumers. However, what has just been said is not reflected in terms of benefits to consumers in the survey conducted (**Figure 3**): more than two-thirds of the respondents admit that they do not remember any initiative being put in place to protect the environment or human rights by agri-food companies. Individuals who are less informed about the initiatives implemented by companies are aged over 45 years and have a middle school diploma or less.

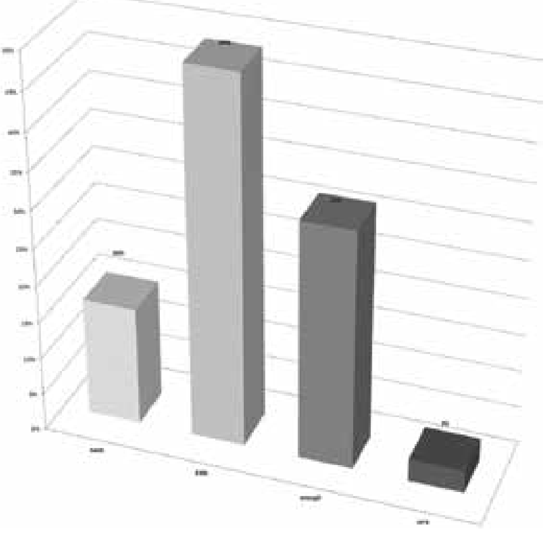

Figure 1. Degree of confidence toward companies.

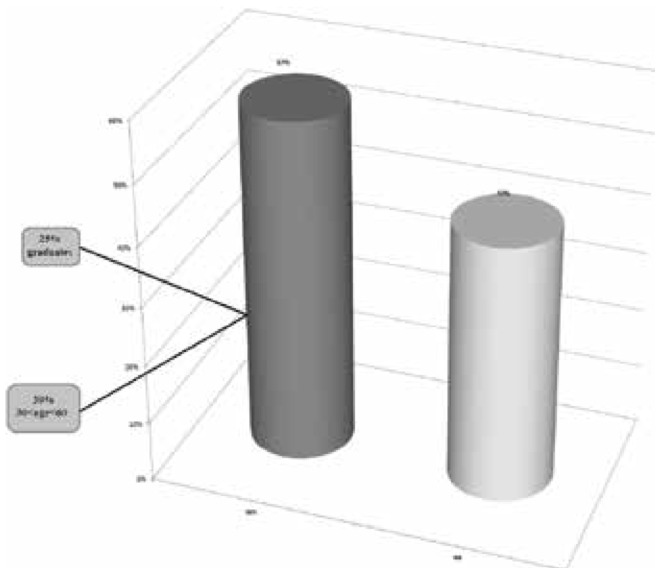

Figure 2. Degree of knowledge on the CSR.

Modern consumers, much more attentive to social problems, require the company to not just operate on the basis of the logic of profit, but also show a commitment to improve the milieu in which they operate, both from a social and environmental point of view. As a matter of fact, the survey showed that the vast majority of respondents agree about the need of the company

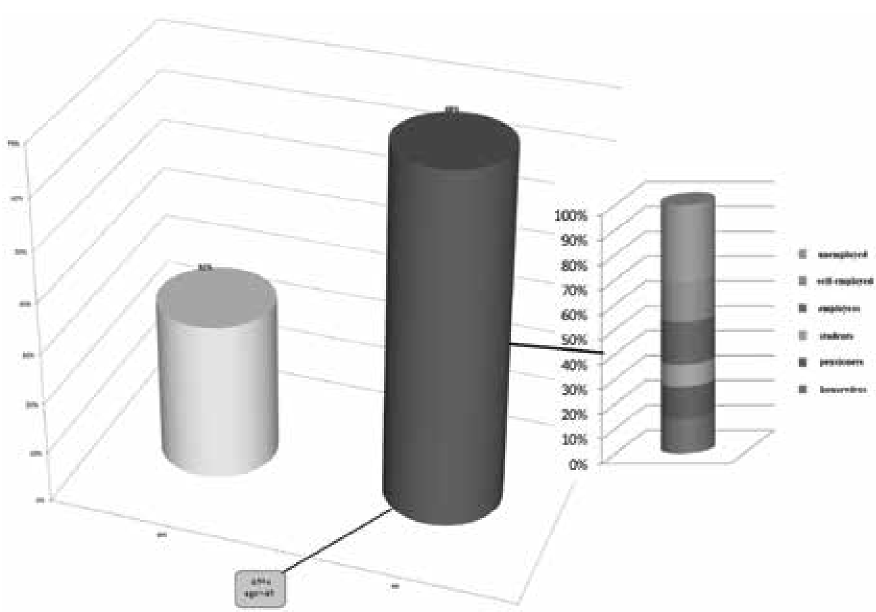

Figure 3. Knowledge on business initiatives toward protecting the environment or society.

to deal with the issues of social importance (**Figure 4**): this confirms an ever-increasing need of the company to take on responsibilities that go beyond the simple profit. Consequently, it can be said that social responsibility should not be understood as a mere cost or a bond, but as a real investment from the point of view of functional marketing strategies, which, over time, contributes to the development of the company and creates value for all the actors involved, not just those pursuing the goal of sustainable development.

At present, the role of the company, in addition to the production of wealth, is based on philanthropic donations or on financing cultural, scientific and environmental activities, and also remembering that for Italy, the social audit, the basic instrument of CSR, unlike in other European countries, is still a voluntary choice and not a legal obligation. A large proportion of respondents evaluate these initiatives as advertising maneuvers (37%): according to this point of view (**Figure 5**), the company acts in a socially responsible way without being driven by an effective interest toward society or by ethical considerations, but in an opportunistic way to obtain a greater profit; 18% of the sample considers these initiatives as episodes that are completely sporadic, therefore, inadequate to solve social problems; 24% claims that charitable initiatives are no more than a way to make up for previous cases of unethical actions carried out ordinarily; lastly, only 21% believe that they are useful in resolving social problems.

5.4. Purchase, responsible consumption and willingness to pay

As highlighted earlier, the contemporary consumer is much more selective, competent and demanding, therefore, s/he is no longer passive toward the inputs (behavioral, of satisfaction of his/her needs, of accessory needs, etc.) of the companies. The consumer is now an active subject with whom the company must interact continuously and progressively, having to take into account its new needs not strictly linked to personal consumption requirements. The study shows that few of the consumers who, when buying a product of a certain brand, are aware of the link between that particular product with the big agri-food production company, even if the latter is known to them. The reason probably lies in the greater renown of the specific brand of the product compared to the name of the (often big) company that produces it (**Figure 6**).

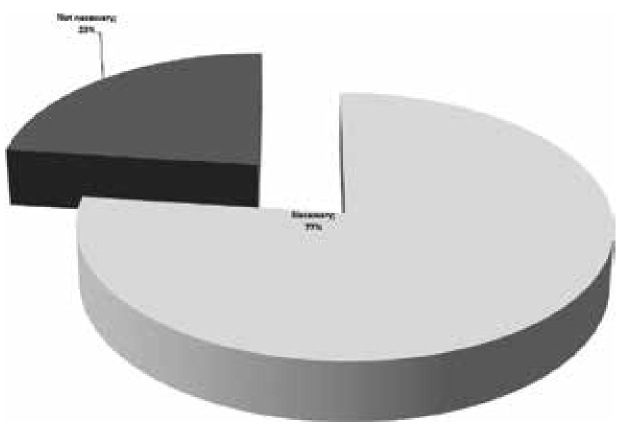

Figure 4. Need for the company to take an interest in socioenvironmental issues.

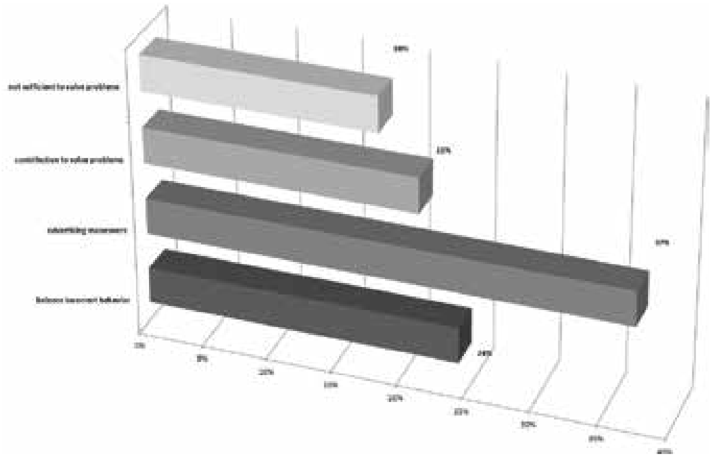

Figure 5. Role of charitable initiatives implemented by companies.

At the time of purchase, the consumer is driven by motivations that lead him/her to choose a specific product of a range of possibilities. The survey shows that (**Figure 7**) the majority of individuals surveyed chooses the product on the basis of a good price/quality ratio, a discrete group chooses on the basis of the trust it has toward the manufacturing company (21%) or because, instead, it takes into account the prominence of the brand (20%), thinking that a more successful brand is automatically a guarantee for the buyer because it is indicative of a qualitatively superior product. The others take into account, at the time of purchase, the social and environmental policies implemented by the company.

Nowadays, the consumer is very attentive in the evaluation of products and, therefore, labels are essential to help them in their choice. As is known, labels contain a great deal of information related to the product, including nutritional content, ingredients, provenance, the name of the manufacturer, location of the establishment and data according to current regulations (from organic farming, denominations, etc.). Nowadays, it is also possible to understand if

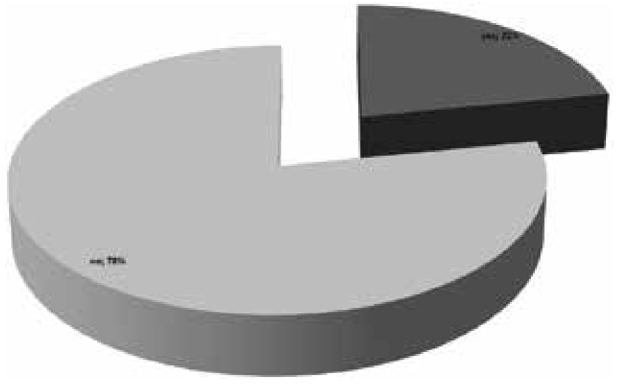

Figure 6. Knowledge of the consumer of the product—big company bond.

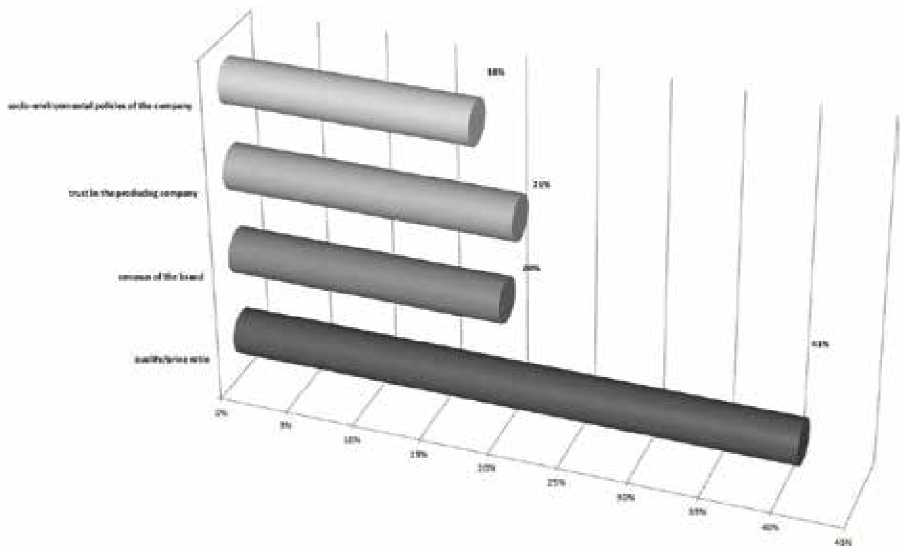

Figure 7. Reasons for buying a product.

the product satisfies the criteria of eco-sustainability and the protection of human and animal rights. The survey showed that (**Figure 8**) the majority of the respondents considers fundamentally the nutritional content and the origin of the product (among these, there are, above all, those who are over 45 years old), while lower percentages are found for other reasons: 11% is concerned only with the origin of the product, 17% only of the nutritional content, the remaining 25% (including most people aged between 20 and 45 years) shows to be interested in the link between product and the environmental and social protection (greater attention by the younger population toward this type of problem).

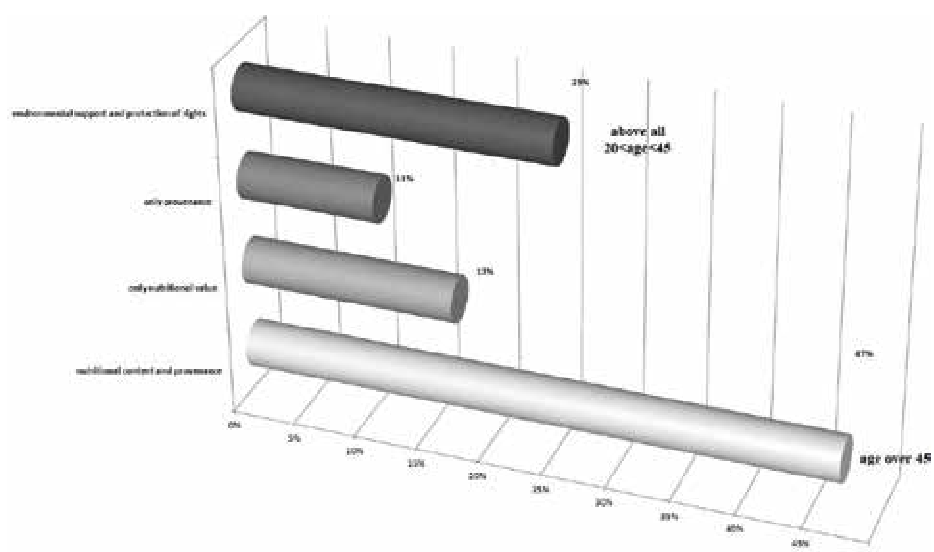

Figure 8. Information deemed most important on label.

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Often, the idea of responsible and ethical consumption is immediately linked to that of the purchase of fair-trade products. As is well known, this type of trade allows appropriate earnings and good job opportunities to craftsmen and peasants who come from the poorest regions of the planet. Most of the respondents (34%) say they know about these products. These are mainly young people aged between 20 and 30 (24%) and between 30 and 45 years (15%). The degree of knowledge decreases with the increasing of the age. The difference between men and women, instead, does not appear to be significant.

Such result is a good indicator of the fact that the sample demonstrates a responsible consciousness. There is a lower propensity to purchase organic products, probably due to higher price compared to other types of products. As a matter of fact, only 23% of the surveyed said that they had purchased organic products, and the individuals less inclined to purchase have an age ranging from 45 years (**Figure 9**). Lastly, regardless of considerations regarding the healthiness or unhealthiness of transgenic products, about which the debate is wide ranging, not definitive and still susceptible of major changes, it was possible to observe how almost all the participants (98%) declared that they had never purchased genetically modified foods or had no knowledge of the subject, while a very few of the sample has consciously purchased them; this shows the strong skepticism still existing toward this category of food products.

The last section of the questionnaire shows that less than half of the consumers are willing to buy a good at a higher cost, provided that it is produced by a company that is fulfilling initiatives in favor of the community, workers or of the environment. As many as 41% (**Figure 10**) of the respondents would be willing to purchase a product at a higher cost. It should be noted that among these, we find a large percentage of pensioners (17%), housewives (15%) and self-employed workers (19%). Moreover, between the three price ranges considered (less than 1 euro, 1–2 euros and more than 2 euros), the choice of the consumers surveyed always fell on the first option (i.e., the lowest price range).

Of considerable interest is also the identification of the areas which the respondents would prefer the economic efforts of the companies were directed (**Figure 11**): the most important ones are education and training, as well as health and research, while only 21% indicated the main preference as the aid to third world and 7% the attention to the environment (above all they are aged over 60 years—it could be because the older population is not really aware of the consequences).

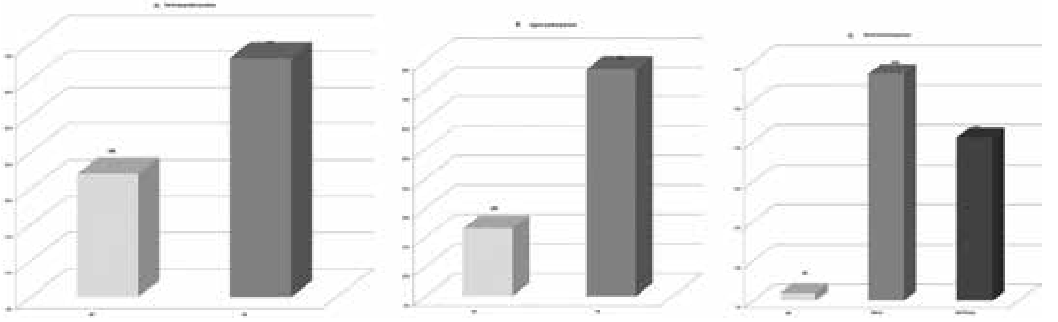

Figure 9. Consumer relationship with alternative purchases: (a) fair trade; (b) organic; (c) biotech.

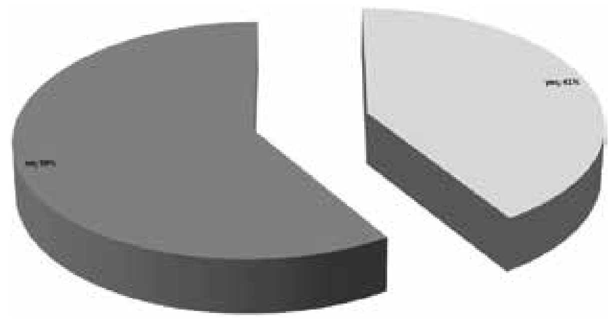

Figure 10. Increased willingness to pay for socially responsible products.

5.5. Summary considerations on the survey

Nowadays, the debate on ethics has become of central importance in Western countries, involving both companies and consumers. Due to the new attitude of the last decades and under pressure of new spending capacities and ever-increasing attention to everything related to the production of a food product, a new context has emerged, in which companies assume an attitude of greater responsibility toward all the stakeholders and, therefore, also to the consumers.

This chapter analyzes how consumers' knowledge and attitude influence the perception of CSR (which is generally better accepted and valued by the general public than economic practices). Then, the effect of some variables on CSR perception was analyzed. The findings obtained from the analysis lead to a better understanding of the influence of the value structure of Italian

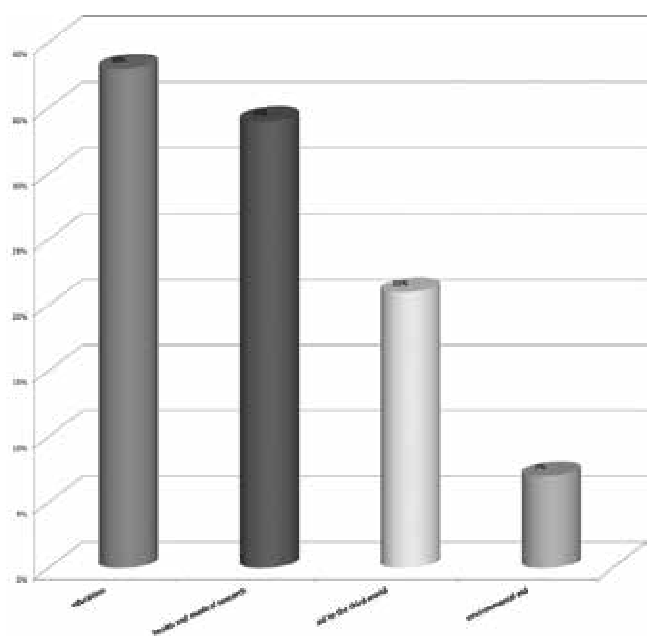

Figure 11. Conditions for willingness to pay for socially responsibly produced foods.

people on ethical performance and confirm both the beginning hypotheses, that is, both attitude and knowledge are positively related to the behavior. The results can help the corporate sector to devise business ethics programs and can also help managers to develop strategies for the success of a social initiative. From data analysis, the most significant element in the research is the knowledge of the consumer when s/he buys. According to the obtained results, although the initiatives of enterprises with regard to CSR are important, they appear to have little effect because of the lack of knowledge that consumers show about responsible corporate initiatives. The reasons may be different: low degree of diffusion of information about CSR through different ways of mass communication, not explanatory packaging and absence of valid education. From the analysis, it has become evident that only consumers who know the actions of CSR buy products of companies that actually implement responsible initiatives; other consumers buy above all considering price, brand and perceived quality. We argue that a different, more focused strategy of information and sponsorship is important to change this trend.

It is no longer a novelty when companies show off behaviors, sometimes even in a blatant way that seems to be ethical. As a matter of fact, most of the companies exhibit a code of conduct that aims to demonstrate their commitment to positively affecting the environment that surrounds them. From the data of this research, it has emerged that contemporary consumers are more sensitive and, therefore, willing to reward, within the limits of their possibilities, through purchasing choices, those companies that they consider to be more socially responsible, punishing, as a consequence, those that do not comply with these standards.

Overall, it seems that the respondents are well aware that companies often do not adopt a responsible behavior by virtue of a real social commitment, but they do it following a sometimes temporary trend linked to the need to take care of their image, sometimes even in relation to cases of amoral behaviors. The initial aim of this research was to assess the knowledge of social responsibility among consumers; in this context, significant indicators were obtained.

Not all the respondents are equally sensitive to these subject matters because of the disparity in education and availability of information. The concept of corporate social responsibility is known and better understood by the more educated population, who are more knowledgeable and informed individuals. Many consumers tend to be seen as passive victims of a system that sometimes tends to manipulate their choices. Nowadays, consumers should be more attentive to the motivations that lead them to choose a brand rather than another, since the purpose of choice can no longer be linked only to economic convenience, but to a whole series of indicators. As the survey demonstrates, the percentage of individuals, who choose a company rather than another for its social commitment is still too low. On the other hand, the concept of ethical consumption has passed the embryonic stage: educated individuals demand a fairer behavior from those companies with which they come into daily contact through the act of purchasing.

6. Conclusions

In summary, it is possible to state that there are several factors that have contributed to make ethics a fundamental element for companies. First of all, a change in public opinion has meant that today the company is evaluated not only for the ability to generate wealth and work, but also, and above all, for the benefits it can generate for the whole society, not only for its shareholders.

Another important factor is the advent of the era of online communication, which has exponentially increased the ability of associations and opinion movements to mobilize citizens worldwide. Indeed, up until 30 years ago, the protest toward companies was entrusted to pamphlets, leaflets and demonstrations, today's scenario includes websites, blogs and e-mails, which allows an acceleration and an effect of the protest campaigns that was unimaginable before. The nature and scope of globalization have now created powerful economic actors, who can exert considerable influence on political decisions and, therefore, have an impact on people all over the world.

Lately, consumer attitudes are oriented toward ethical evaluations, which go beyond the intrinsic quality of the product, including the intangible properties of the same. From this study, it emerged that critical or responsible consumption, forms of boycotts, fair-trade and solidarity buying groups are only some of many alternative consumer experiences that are spreading among the population. It is therefore not a matter of a return to the past, but rather it is the search for new models that are compatible with respect to the environment, for natural resources and local communities.

Changes in consumer behavior have repercussions on business strategies. Through the analysis carried out, it was possible to ascertain the degree of knowledge of consumers about corporate social responsibility. It emerged that most of the respondents who know about CSR have high levels of education. Furthermore, it has been shown that, at the time of purchase, very few consumers know that, by buying a certain brand, they actually buy a product from a particular company. The people who have a greater knowledge of this phenomenon are quite young. In addition, the survey showed some parameters (social and environmental policies implemented by companies), which, at the time of purchase, only a small percentage of respondents took into consideration. This very low percentage highlights the low interest of consumers toward social policies implemented by companies, or a lack of confidence in their initiatives, or even a lack of knowledge about them (while a greater attention to other factors is determined, such as price).

Furthermore, the analysis showed that consumers buy more fair-trade products than supposedly high-quality products, despite the fact that many organic products are more easily traceable than fair-trade products. The reason could be found in the fact that supposedly high-quality products have a much higher price. Lastly, for the majority of respondents, it was important that the company carries out corporate social responsibility strategies, even when, in the majority of cases, they are not willing to pay a higher cost for the product. Therefore, despite thinking that the motivations that push a consumer to choose one product over another are social in nature, in reality, economic motivations continue to prevail.

These considerations, together with those referring to the purchase of particular categories of food products and the reactions of companies to modern consumers' demand, have provided important insights into the Italian scenario of today's consumer and its relationship with the reality of social responsibilities of companies. These findings can represent the starting point for further research that has as primary objective the in-depth analysis of a theme relevant to the context of today's agri-food system.

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Conflict of interest

The authors confirm that this article content has no conflict of interest.

Notes/thanks/other declarations

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Chapter 7

Perceived Social Responsibility and Performance Link

Abdullahi Hassan Gorondutse and Haim Hilman

Additional information is available at the end of the chapter

http://dx.doi.org/10.5772/intechopen.75434

Abstract

In today's business environment, companies face ever-growing international competitions, radical technological changes, and demanding customers. This chapter is a guide to the use of a wide variety of strategic management plans. Managers in the world's businesses are under great pressure. The emergence of a multitude of business ethics and social responsibility is the key to competition advantages. Therefore, managers must have a new concept that enables them to see their jobs realistically. This chapter is about a concept which begins to turn managerial energies in the right direction. The chapter will serve as guidance for managers/owners of small and medium enterprises to develop practices of social behavior (business and corporate social responsibility) in order to enhance performance, in a logical and manageable way.

Keywords: ethics, perceived social behavior, business social responsibility

1. Introduction

There is a close, indeed unbreakable, link between ethics and social responsibility on the one hand and business strategy on the other, which will strike most managers as a proposition that is arguable and quixotic at best and dangerously misleading at worst. Many consumers and social advocates believe that businesses should not only make a profit but also consider the social implications of their activities. In this chapter social responsibility refers to as a business's obligation to maximize its positive impact on their profitability and minimize its increasing inequality, harming the environment on society. Although many people use the terms *social responsibility* and *ethics* interchangeably, they do not mean the same thing.

Ethics stand for a set of morality and moral behavior; they are different from laws, which consider the consequences of actions [1, 2]. The concepts of ethics are diverse [3, 4]. They are similar to rules of appraising of what is accurate or incorrect and good or bad, regarding individual or a firm's behavior in business [4]. Ethical standards should not be compromised because of an organization's requirements to make a profit [2].

Business organizations trying to achieve their objectives must operate ethically in the society [3]. Organizations and their employees have to embrace ethical behavior in business to fulfill freedom, self-confirmation, and organizational performances [4]. Sellers can exert pressure on customers and show an opportunistic behavior [4, 5] in order to achieve rapid financial payback. This unethical work can affect customer satisfaction [6] and consequently results in poor performances as it affects the organization's profitability [3].

Organizational programs and activities that are ethics related enhance performance and also increase employee's business participation because of positive business social responsibility behavior. Business social responsibilities as guiding principles should be able to persuade employees to always observe ethics in their daily routines [2, 7]. For instance, the dissonance theory suggests that workers' understanding decreases disagreement and increases happiness and satisfaction of employees when the company's procedures are ethical [7–10]. The same applies when communally accountable policies are initiated by a firm to enhance the wishes and welfare of major stakeholders such as employees, shareholders, and the society at large [2, 11, 12]. Such challenging work constitutes significant objectives for business social responsibility, which most likely will improve the association between business (making profits) and the workforce (earning a living) [8], as well as the customer and society.

The recent research [13] demonstrated that the organizations that were socially responsible have high ethical standards [14]. It was argued that the financial parameters need an ethical input which requires a new outlook other than lawful, monetary plans of action. The author posited that "moral-cultural mental model," which was grounded in ethics, has regard for human good posture and benefits all. This essential rule is, as per, a powerful bent on social duty responsibility. The absence of higher human- and social esteem-based "attitudes" were in charge of the fizzled human activities that brought about unscrupulous and improper activities in most of the businesses around the world [14–16]. Ref. [17] echoed this view, expressing that their subjective review confirmed such an imperative forerunner, to the point that the convictions and self-esteem frameworks of business people assumed a principal part in molding a supportable corporate system. The mentality seen as a method for human esteem judgments influencing activity judgments [18] underlies the wrongdoings conferred among a progression of occasions that set off the world financial crisis.

The frame of mind was ascribed to a limited extent to the distraction of the offenders with their near-sighted psychological style which planned the ideal way to fast financial gain. Their rationalistic, deterministic, and positivist inclination or perspective had a tendency to overlook the importance of sociopolitical responsibility; contemplations of defective and indeterminate callousness seem to have been the base of their action, and the complex human world or human action framework was lost [11]. Such a view was shared by different researchers and scientists [11]. For instance, alluding to this mood, the causal way of the financial crash is identified.

A major issue for businesses in the past has doubts whether business management studies should consider subjects other than effectiveness of making profits [3]. There is an increasing concern in

http://dx.doi.org/10.5772/intechopen.75434

trying to describe what it considered for a business to be socially accountable. Additionally, in line with the strong evidence of the consequences of unethical behavior, it is said that perceived ethics have a positive outcome on companies' performances [2, 19, 20].

Previous studies maintain this assertion. The theory of reasoned action states that perceptions influence individual attitude and result in willingness to act [21], signifying that perceptions of ethics driven by certified principles lead to the ultimate commitment of business social responsibility and the action of businesses [1], using an American Marketing Association, established that ethical principles are connected with a firm's performance. This further asserts that perceptions of corporate social awareness and accepted practices of business social responsibility could enhance universal thinking about social performance [9]. Ref. [22] state that their qualitative study found that "the beliefs and value systems of entrepreneurs played a fundamental role in shaping a sustainable corporate strategy." The attitude seen as a method for human esteem judgments influencing activity judgments [18] underlies the wrongdoings committed amid a progression of occasions that set off the money-related crisis. A portion of the financial executives in charge of the budgetary crash made them unmindful of the results of their flighty activities on innocent stakeholder.

In this sense, their mentalities lacked the consciousness of social responsibility. The criticism of such behavior was explained, to some degree, by the myopic psychological views of the guilty parties which were exclusively based on monetary benefits.

There has been a significant debate on the link between business or corporate social responsibility and organization performance measures. Ref. [23] contend that organizations ought to invest in socially dependable practices despite the fact that those exercises may decrease the company's cash flows. The authors hypothesize how trade in an open market, based on ethical principles which are embedded in social business responsibility, may advantage the expansion of the firm in spite of the increased costs.

Ref. [24] opined that proof of relationship exists among business social responsibility and corporate budgetary execution. Referring to [25], they indicate four potential hotspots for the change in execution: improving legitimacy and reputation, cost and risk reduction, building the upper hand, and making win-win circumstances through synergistic esteem creation. Ref. [24] propose that organizations ought to endeavor to adjust business social responsibility guidelines into their performance goals.

Ref. [26] reported that there is sufficient evidence to support a positive relationship between the corporate social responsibility (CSR) and financial performance and little evidence of a negative association from their meta-analysis of 127 studies. Regardless of the proof and evidence for a positive CSR and money-related affiliation, [27] contends that doing great by doing great is a fantasy. While this result is likely in effective markets, numerous social issues happen with market disappointments. Doing great by doing great is in strife in these market disappointment cases; subsequently, it is important to control corporate conduct to accomplish the social destinations. One of the objectives of this review is to look at CSR and budgetary performance relationship with regard to organizational core values particularly in the financial industry.

In contrast, [28] while analyzing 27 incident studies where socially irresponsible actions were ascertained reveals that businesses that are socially responsible will surely achieve their objectives. Another study found that perceived ethics has a positive effect on corporate capability [29, 30]. Furthermore, there has been a substantial argument on the association between BSR and business performance measures. Ref. [24] reviewed the literature and found that there is a positive relationship between business social responsibility and corporate financial performance [13]. It was further argued that organization that put their resources in socially responsible practices has an advantage on market value of the firm despite the costs involved in actualizing social projects which lessen business liquidity [13, 23].

Again, [24] suggest that firms should attempt to align business social responsibility activities with their performance objectives [13]. Recently, [31] arrived at a related conclusion. They thought about a coordinated example of US firms on the Dow Jones Sustainability Index with firms not on the list and discovered that firms on the file had a superior gross overall revenue and higher profit for resources than the organizations not on the record.

Organizational ethics is a firm's commitment to ethical principles and actions. A number of businesses encourage a social and an ethical behavior/environment by establishing a significant moral standard that guides organizational members' "ethical thinking and actions [32]. In addition, other businesses promote organizational ethics with codes that demonstrate ethical standards and behavioral necessities among members in the organization [2, 13, 33]. The overall objective of such conducts is to enhance and stimulate workers" commitment to perform tasks in line with ethical aspirations [2, 9].

Perceived ethics which measures a firm's performance is adapted from the scale developed by [29, 31]. This scale has been used by other researchers and found to be reliable [30]. The scale has six items and directly captures organization's perceptions of how strongly they view business social responsibility. It is reported that the scale has internal reliability (i.e., Cronbach's alpha) of .93 [30]. Furthermore, this measurement scale has been used widely by different scholars [29] who endorsed its validity. The samples of items are statements like—"My organization is committed to well-defined ethical principles" and "My organization is aware of environmental issue that will not affect society." Like others, this construct also used seven-point Likert scale as it appears to be optimal and enables respondents to show their stand comfortably.

2. Perceived ethics and performance

In this section, Ref. [24] reviewed literature on the business cases for corporate social responsibility and posited that there is evidence on the link among corporate social responsibility and corporate financial performance. Referring to [25], they indicate four potential hotspots for the change in performance of corporate social responsibility exercises: cost and risk reduction, enhancing authenticity and notoriety, building the upper hand, and creating win-win circumstances through synergistic esteem creation. Ref. [24] proposed that firms must endeavor to adjust corporate social responsibility exercises to their performance goals. Ref. [26] explored the observational research in the vicinity of 1972 and 2002 on the potential relationship among corporate social responsibility and financial performance. They conclude from their meta-analysis of 127 reviews that there is adequate confirmation to bolster a positive link between the corporate social responsibility and financial performance and little evidence of a negative affiliation.

3. Conclusion

Previous studies have established that there is a considerable link between perceived ethics and financial performances [13]. However, some studies [34, 35] found no relation or mixed results, and their methods varied and were contentious. Therefore, based on the above, this chapter uses perceived ethics to find the associations with small- and medium-sized enterprises' performances, which currently has consistent result and low empirical evidence of any negative effects.

This chapter discusses the definitions of perceived ethics and other related concepts; the chapter also looks at the previous research on the association between perceived ethics and performance. To promote ethics and social responsibility around the world, a group of businesses and political and civic leaders in Europe, Japan, and the United States created international principles related to responsible corporate citizenship. The role of business in the lives of customers, employees, owners, competitors, suppliers, and communities was communicated in clear terms. International codes allow businesses to confidently adjust their practices to accommodate cultural, social, and ethical differences in international business.

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Section 3

Individual Social Responsibility

Chapter 8

Examining Chinese Consumers' Knowledge, Face-Saving, Materialistic, and Ethical Values with Attitudes of Counterfeit Goods

Joy M. Kozar and Shuyi Huang

Additional information is available at the end of the chapter

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Abstract

Although there is increasing research on Chinese consumers' apparel purchasing behavior, there is limited information examining the relationships between Chinese consumers' knowledge of counterfeit goods, face-saving, materialistic, and ethical values with their attitudes toward counterfeit fashion goods sold in China's marketplaces. Understanding the behavior of Chinese consumers is significant given that China is the world's largest apparel producer and exporter and maintains the greatest consumer marketplace today. China also has the world's largest counterfeit market. In the Chinese marketplace, a majority of goods are counterfeited, including fashion products. This has become a serious and costly issue among fashion brands as they endeavor to protect their intellectual property rights. A total of 1192 participants (736 female and 456 male) residing in China participated in this study. Among the findings, significant relationships between Chinese consumers' knowledge of counterfeits, face-saving, materialistic, and ethical values and their attitudes toward counterfeits existed. The results of this study provide a reference for other scholars exploring the three tiers of sustainability. Previous research has shown evidence that the production of counterfeit goods is linked to terrorism, poor working conditions, and the health and safety of consumers—all issues pertaining to social individual responsibility and social corporate responsibility.

Keywords: China, Chinese consumers, counterfeits, ethical responsibility, social individual responsibility, social corporate responsibility, sustainability

1. Introduction

China has the largest apparel marketplace in the world with more than 1 billion consumers. A survey by the Hong Kong Trade Development Council [1] showed that more than

70% of Chinese consumers have a habit of shopping for apparel items at least once a month. Chinese consumers' per capita consumption and spending of textile and apparel goods exceeded more than 600 USD monthly in 2015 [1]. Given the rapid growth of the apparel marketplace in China, the total sale of fashion goods increased from 126 billion USD in 2011 to 169 billion USD in 2015 [2]. The potential of the Chinese apparel market has attracted foreign apparel brands from France, Germany, Italy, Japan, the United States, Britain, and South Korea, among others. Fast fashion apparel firms such as H&M, ZARA, and Uniqlo have also enjoyed a significant increase in sales in recent years in China [1, 3]. The purchase of luxury fashion brands in China have reportedly increased from 12% in 2010 to 22% in 2015—at a time when the luxury fashion market has declined in the United States by 16%, Japan by 10%, and Western Europe by 8%. Following the United States, China maintains the second highest gross domestic product in the world and has become a favorable market for a range of different apparel products given the large fashion-conscience consumer society [4, 5].

China produces and sells the highest number of counterfeit products in both domestic and international markets [6]. In the Chinese domestic market, more than 90% of products are counterfeited, which include counterfeit music, movies, software, and fashion goods [7]. In recent years, nearly 600 million of counterfeit products (produced in China) circulated in the global marketplace, equal to at least 87% of total counterfeit sales worldwide. In fact, 57% of those counterfeited products were apparel, footwear, and fashion accessories [7].

According to previous researchers, evidence exists that a link between the production of counterfeit goods and terrorism exists [8]; this includes the funding of the terrorist organization Hezbollah in Lebanon [9]. The sale of counterfeit merchandise was a major source of funding the 2004 bombing of a Madrid train, which resulted in the deaths of 191 people [10]. Beyond the connection between the production and sale of counterfeit goods and organized crime and terrorist organizations, one coalition confirmed that counterfeit goods present concerns related to social responsibility, that is, the majority of counterfeit goods are most often made using cheap, substandard, and dangerous materials [10] which put the health and safety of workers and consumers at risk. For instance, chemicals such as anti-freeze, urine, and other bacteria have been detected in counterfeit fragrances [11].

To Chinese consumers, "A Products" and "Shanzhai "are terms used to describe counterfeit products that are of very good quality, for example, the designs are near replicas to genuine products. Counterfeit goods are typically produced by the genuine brands' contracted manufacturers or third-party manufacturers without brand owners' permission. Essentially, they are copies of branded apparel products made without copyright permission—which enables the products to be sold at very low prices compared to the original "legitimate" goods [12]. Many Chinese consumers do not consider "A Products" or "Shanzhai "to be counterfeits because of the similarity to legally produced goods [13].

2. Review of literature and research questions

The primary purpose of this study was to investigate Chinese consumers' knowledge of apparel counterfeits, face-saving, materialistic, and ethical values and their attitudes toward counterfeit fashion goods. Previously, researchers have reported a significant relationship between American college students' knowledge of counterfeit apparel products and their attitudes toward counterfeit apparel products. Specifically, a survey conducted in 2006 reported that 108 undergraduate students with greater knowledge (M = 2.50, a = 0.86) of counterfeits held stronger negative attitudes (M = 3.8, a = 0.84) regarding the purchasing of counterfeited apparel goods [14]. To assess the participants' level of knowledge of counterfeits, the authors used a scale measuring consumer concern and knowledge toward counterfeit apparel products [14]. In a similar vein, in 2011, other researchers using the knowledge of counterfeits scale found that 321 consumers in the United Kingdom had less favorable attitudes (a = 0.85) toward counterfeit products when they were more knowledgeable about counterfeits (a = 0.75). Further, knowledge about counterfeits not only helped Iranian college students to identify a product's authenticity but also decreased their favorable attitudes toward counterfeit products [15, 16]. Given these findings, in order to examine the relationship between Chinese consumers' knowledge of counterfeit apparel products and their attitudes toward counterfeit apparel products, the following research question was devised:

Research Question 1: Is there a difference of knowledge and attitudes of Chinese consumers toward apparel counterfeits?

Face-saving values refer to a social psychological framework of favorable self-worth that people expect others to respect in public [17, 18]. Face-saving values have been a longstanding concept in Chinese traditional culture, emphasizing the importance of maintaining one's social status by accumulating possessions that symbolize wealth [19]. Past researchers have indicated that because of the strong endorsement of traditional face-saving values, Chinese consumers tend to believe that the best way to show their high level of social status and wealth is through purchasing foreign apparel branded goods (i.e., products carrying the infamous Nike swoosh as an example) [20]. As a result, Chinese consumers with high face-saving consciousness predictably have a greater willingness to spend money on material goods to enhance their level of social status and reputation [21]. Several researchers have found that face-saving values are a significant factor influencing Chinese consumers' purchase decision-making [19–22]. Regarding consumers' consumption values, it has been reported that a relationship exists between Chinese consumers' face-saving values and their purchase behaviors and consumption of global apparel fashion branded goods [20].

Chinese consumers intentionally purchase foreign branded products to maintain and upgrade their social status in public [16]. Nevertheless, these goods, particularly luxury fashion products, typically are sold at higher price points in China as compared to the United States and Western Europe. For instance, the Louis Vuitton Tuileries handbag sold online in the United States is listed at 2490 USD [23], whereas, the exact same handbag sold online in China is listed at 2866.93 USD (￥ = 18,200) [24]. Most of the counterfeit products sold in the Chinese market are imitations of luxury brands, sold at lower price points than the genuine luxury products in China. As such, the following research question was devised:

Research Question 2: What role do face-saving values play in Chinese consumers' relation to counterfeit apparel products?

Researchers have also found that consumers with high materialistic tendencies typically consume products with highly recognizable brands in order to derive more pleasure and fulfill their materialistic satisfaction [26]. Over time, globalization and capitalism have shifted Chinese traditional values to become more materialistic and individualistic. In one study, it was noted that Chinese consumers who held strong concerns about the brand status of products were more preoccupied with their social comparison to others given the Chinese face-saving culture [25]. Other researchers have reported that the level of consumer materialism is reflected by the amount of consumption of products and goods [25, 27]. Given these findings, to examine materialism and its relation to attitudes toward counterfeit goods, the following research question was devised:

Research Question 3: What role do materialistic values play in Chinese consumers' relation to counterfeit apparel products?

Further research has documented the growth of materialistic values among Chinese consumers, given the significant economic growth and higher domestic consumption over recent years [28]. It is plausible that materialistic consumers with lower financial capability might be more likely to purchase counterfeit goods (given lower price points) in order to satisfy their social status needs. Past researchers have noted that consumers' ethical values can potentially have a cause-effect relationship with their purchase decision-making [29–32, 34, 35]. Therefore, the final research question examined as part of this study was in regard to the ethical values and attitudes toward counterfeits among Chinese consumers:

Research Question 4: What role do ethical values play in Chinese consumers' relation to counterfeit apparel products?

2.1. Methodology

The population of interest for this study included Chinese men and women between the ages of 18 and 64, living in four representative cities in China including Shanghai, Guangzhou, Wuhan, and Chengdu. Shanghai, a tier-one city with a population of more than 25 million, is considered the main financial and commercial center in China. Shanghai is also considered the fashion capital of China and has the largest fashion consumer marketplace among all mainland cities. Similarly, Guangzhou, also a tier-one city, maintains an expanding apparel and textile marketplace in China. In fact, Guangzhou's garment wholesale industry encompasses 25% of all apparel production in China. Over the last several years, companies in Taiwan, Hong Kong, South Korea, Japan, the United States, and the European Union have opened trading offices in Guangzhou [33, 36, 37].

This study used a quantitative method approach for data collection through a survey instrument. The scales used to analyze the relationships among the key variables are further outlined in the next section. Prior to pretesting the questionnaire, a postgraduate student studying education and working in an English Language Program translated the survey from English to Mandarin. The Mandarin version was then translated back to English by an instructor working in the English Language Program. This process secured the content validity of the survey instrument. After the translation was complete, an online pretest questionnaire was distributed through the Qualtrics online survey method. The primary reason for pretesting the instrument was to confirm that pretest participants understood the wording of the instructions and items in each scale. A total of 25 mainland Chinese volunteers in the targeted regions and age groups completed the questionnaire and were instructed to leave comments at the end, specifying any misunderstandings of words used in the questionnaire or instructions. Based on the feedback from the pretest, some modifications to the questionnaire were made. Specifically, these revisions were focused on restating or removing statements included in measuring Chinese consumers' ethical values. Some of the statements were deemed not suitable and difficult to comprehend among the pretest participants. For instance, pretest participants commented that some of the statements included in the scale measuring Chinese consumers' ethical values were not relatable to the people of China. The statements removed from the measure included: "I don't see a problem in getting too much change and not saying anything," "I don't see a problem with returning merchandise to a store by claiming that it was a gift when it was not," "I think it is okay to stretch the truth on an income tax return," "I think it is okay to not tell the truth when negotiating the price of a new automobile," and "I think it is okay to download music that I did not actually purchase."

The responses collected from the pretest participants were not included in the final sample as a modified instrument was ultimately used, given the feedback collected in the pretest. In order to collect data after the pretest, an online or paper questionnaire was delivered by the SOJUMP survey agent company. The questionnaire for this research was determined by the feedback of the pretest. A total of 63 statements divided into five combined variables were included in the final version of the questionnaire. These computed variables included measures to assess participants' knowledge of apparel counterfeits; participants' attitudes toward counterfeited apparel products; and participants' face-saving, materialistic, and ethical values. Additional demographic questions were also included: age, sex, reported monthly income earnings, education, and reported monthly spending on apparel and accessories. Two qualifying questions were stated on the cover page of the questionnaire, including: "Are you between the ages of 18 and 64?" and "Where do you currently live in China?" Participants who answered "No" or "Other Cities" did not qualify to participate in the study. All computed variables were measured on a Likert-type scale ranging from (1) strongly disagree to (5) strongly agree. The average time in completing the questionnaire was 25 minutes.

A cover page with a brief introduction was also incorporated as part of the questionnaire. It clearly explained the purpose of the research project and the rights of participants regarding anonymity and confidentiality. Because the terms "Shanzhai" and "A Products" are oftentimes used instead of the word "Counterfeit, "it was necessary to provide the definitions and examples of counterfeit apparel products that included "Shanzhai" and "A Products" on the cover page. This helped participants fully understand the context of counterfeit products.

Participants were sought by utilizing the services offered by SOJUMP [38]. SOJUMP [38] is a creditable survey company that has successfully collected more than 20 million reliable surveys for more than 16,000 businesses and 1200 higher education institutions. SOJUMP distributed the questionnaire to the sample population by either a paper copy or through an online Qualtrics survey link. A total of 750 individuals without Internet access were mailed the paper version; another 750 received the link to the questionnaire. Prior to data collection, it was confirmed that SOJUMP had the capacity to distribute the questionnaire in Mandarin characters to participants. Only participants from Shanghai, Guangzhou, Wuhan, and Chengdu, between the ages of 18 and 64, were sought.

3. Research findings

3.1. Description of sample

A total of 1339 participants completed the questionnaire. There were 97 participants who did not qualify for the study because they did not meet the qualifying criteria (age range or city of residence). A total of 43 participants only partially finished the survey or provided the same response for all questions. As a result, a total of 1199 participants qualified for this study.

The participants resided in Guangzhou, Shanghai, Chengdu, and Wuhan, China, with a combined share of two-thirds of the total Chinese retail marketplace. The participants for this study were 61.92% (n = 741) females and 38.09% (n = 458) males with ages of all participants ranging from 18 to 64. Participants between the ages 18–29 years represented over half of the sample with 66.24% (n = 793); the second largest age group (30–39) represented 23.39% (n = 280) of participants. A quarter of the participants, 25.89% (n = 310), earned an income level of more than 900 USD (￥ = 6120) monthly. The second largest group of participants, (16.04%, n = 192) reportedly earned between 318 USD and 441 USD (￥ = 2000–3000`) monthly. The educational level of participants ranged from receiving a high school diploma to earning a Ph.D., with the majority of the participants, 80.25%, (n = 960), having either taken college courses or completed an undergraduate bachelor's degree. The monthly reported spending on new clothes and accessories among participants ranged from less than 50 USD (￥ = 300) to more than 160 USD (￥ = 1000).

3.2. Research Question 1

Research Question 1: Is there a difference of knowledge and attitudes of Chinese consumers toward apparel counterfeits?

To further examine this research question, a scale used to assess participants' knowledge of counterfeit apparel products, originally developed and tested by previous researchers [14, 39], was utilized. The scale included a total of seven statements, examples include: "I am very confident about my ability to tell the difference in quality among counterfeit apparel products versus non-counterfeit apparel products," "I am familiar with efforts to stop counterfeit apparel," and "I feel very knowledgeable about counterfeit apparel." The reliability of

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the computed variable to assess participants' knowledge of counterfeit apparel goods was acceptable ($a = 0.89$). The summed mean score for this measure was 2.28 ($n = 1199$, SD = 5.10), indicating that overall, participants held very low levels of knowledge of counterfeit apparel products.

The scale measuring Chinese consumers' attitudes toward counterfeit apparel products was also adopted by other researchers [14, 39, 40]. Three statements were used to analyze this variable, including: "I would buy a counterfeit apparel product if no one could tell it was a counterfeit," "I am a smart consumer because I own a counterfeit apparel product," and "I like counterfeit apparel." To test the reliability of the computed variable, the Cronbach's alpha was acceptable at 0.84. The computed mean score for the summed variable was 2.86 ($n = 1199$, SD = 3.47), meaning that participants were mostly unsure regarding their attitudes toward counterfeit apparel products.

Regression analysis was used to examine the difference of knowledge and attitudes of Chinese consumers toward apparel counterfeits. The analysis revealed a significant inverse relationship between knowledge and attitudes (F (1,199) = 206.53, $p < 0.001$, $R_2 = 0.15$). The unstandardized coefficient was −0.61, indicating that for every increase in knowledge about counterfeits, the mean of attitudes toward counterfeits decreased by 0.61. These results indicate that participants more knowledgeable about counterfeit apparel products held more negative attitudes toward the use and purchase of counterfeit apparel products.

3.3. Research Question 2

Research Question 2: What role do face-saving values play in Chinese consumers' relation to counterfeit apparel products?

The scale used to measure participants' face-saving values was originally developed and tested as a reliable measure [22]. A total of four statements were used in computing the combined variable; these included: "I am concerned with protecting my personal pride," "I am concerned with protecting my self-image," "I am concerned with not bringing shame to myself," and "I am concerned with not appearing weak in front of other people." The value of Cronbach's alpha for the computed variable measuring participants' levels of face-saving values was acceptable at 0.82. The computed mean score for the summed variable was 4.02 ($n = 1199$, SD = 2.60), meaning that participants, overall, held strong feelings related to their face-saving values.

Regression analysis was used to explore the role of face-saving values among Chinese consumers in relation to counterfeit apparel products. A significant positive regression equation was found (F (1199) = 150.60, $p < 0.001$, $R_2 = 0.11$), indicating that participants' levels of face-saving values and attitudes toward counterfeit apparel brands existed. The unstandardized coefficient value was 0.59, which showed that for every increase in the level of face-saving values, the mean of attitudes toward counterfeit apparel brands increased by 0.59, revealing that participants in this study who placed greater emphasis on their face-saving values held more positive attitudes of counterfeit apparel products.

3.4. Research Question 3

Research Question 3: What role do materialistic values play in Chinese consumers' relation to counterfeit apparel products?

Past researchers [36] utilizing the materialism scale included 18 statements with an acceptable Cronbach's alpha at 0.75. The following examples [36] were included in this research: "I would be happier if I could afford to buy more things," "Buying things gives me a lot of pleasure," "Some of the most important achievements in life include acquiring material possessions," and "I admire people who own expensive homes, cars, and clothes." The computed score for this scale was 3.46 (n = 1199, SD = 8.45). Given this finding, participants, overall, showed a high level of materialism.

A regression analysis was calculated to examine the role of materialistic values in Chinese consumers' relation to counterfeit apparel products. A significant positive regression equation was found (F = 1199) = 304.56, $p < 0.001$, $R_2 = 0.20$). The unstandardized coefficient value was 1.11, indicating that for every increase in the level of materialistic values, the mean of attitudes toward counterfeit apparel products increased by 1.11. This finding reveals that among the participants in this study, those who placed greater emphasis regarding values of materialism held stronger attitudes toward counterfeit goods.

3.5. Research Question 4

Research Question 4: What role do ethical values play in Chinese consumers' relation to counterfeit apparel products?

To measure participants' ethical values, the consumer ethics scale [41] was utilized. The original scale included 16 statements; however, given the feedback from pretest participants, 5 of the 16 statements were removed. The remaining 11 statements used in this study included: "I think it is okay to change the price tags on merchandise in a retail store," "I think drinking a can of soda in a supermarket is okay without paying for it," "I think it is okay to report a lost item as stolen to an insurance company in order to collect the money," "I think it is okay to give misleading price information to a clerk for an un-priced item," "I think returning damaged merchandise when the damage is my own fault is okay," "I think it is fine to lie about a child's age in order to get a lower price," "I think it is okay to not say anything when the waitress miscalculates the bill in my favor," "I think it is okay to use an expired coupon for merchandise or for merchandise that I did not buy," "I think it is fine to use computer software or games that I did not buy," "I don't see any problem in spending over two hours trying on different clothes and not purchasing any," and "I think it's okay to download a movie off of the computer that I did not purchase." The Cronbach's alpha for the modified computed score was found acceptable at 0.94, ensuring the reliability of the combined scale. The computed mean score for the summed variable measuring participants' overall ethical values was 2.98 (n = 1199, SD = 11.71), revealing that, overall, participants held a moderate level of ethical values.

To explore the role of ethical values in Chinese consumers' relation to counterfeit apparel products, a regression analysis was calculated. A significant positive regression equation was found (F = 1199) = 442.00, $p < 0.001$, $R_2 = 0.27$). The unstandardized coefficient value was 0.55, which indicated that for every increase in the level of ethical values, the mean of attitudes toward counterfeit apparel products increased by 0.55. This revealed an interesting correlation between participants' levels of ethical values and their attitudes toward counterfeit apparel products. This finding contradicts previously reported results, such that consumers residing in other countries with higher ethical values hold lower attitudes regarding the purchase and consumption of counterfeit goods. This differing finding is further discussed in the next section.

4. Implications

Individual and corporate social responsibility have come to the forefront as the sustainability movement has intensified in today's global apparel supply chain. As it pertains to the manufacturing and sale of counterfeits, it has been consistently reported that counterfeiting poses a global threat to worker and consumer health and safety and creates significant costs for corporations in the protection of intellectual property. Sweatshop-like conditions and the exploitation of workers are rampant in the production of counterfeits. Operations have poor working conditions, often use children as a means of cheap labor, subject workers to psychological and physical abuse, and withhold benefits and wages to workers. In addition to the funding of organized crime and terrorist activities, the revenues generated from the sale of counterfeits are also linked to global drug trafficking [10].

Attempts have been made to counter the supply of counterfeit goods in the global marketplace; examples include the Trademark Counterfeit Act [42], the Agreement on Trade-Related Aspects of Intellectual Property Rights [8, 43, 44], the Innovative Design Protection and Piracy Prevention Act [45], and the Anti-Counterfeiting Trade Agreement, an initiative consisting of member countries including Australia, Canada, member nations of the European Union, Japan, Korea, Mexico, Morocco, New Zealand, Singapore, Switzerland, and the United States [46]. As part of these movements, protecting corporate intellectual property is a significant priority, including copyrights, trademarks, industrial designs, and patents.

However, while industry efforts and legal policies attempt to curb the supply (production and sale) of counterfeits, researchers have reported that the success of these initiatives are compromised so long as the demand of counterfeits among consumers exists [47]. Given that China maintains the largest counterfeit market in the world, examining the societal and individual factors that contribute to the attitudes of counterfeit apparel goods among Chinese consumers is noteworthy. In this way, the purpose of this study was to investigate Chinese consumers' knowledge of apparel counterfeits and the roles of face-saving, materialistic, and ethical values in relation to attitudes toward counterfeit apparel goods.

This study revealed an inverse relationship between participants' knowledge of counterfeits and attitudes toward counterfeits. Simply put, those possessing a greater knowledge of counterfeits held stronger negative attitudes toward counterfeit goods. Up until now, there has been no existing research to indicate the level of Chinese consumers' knowledge of counterfeit apparel products. In this study, the summed mean variable of Chinese consumers' knowledge about counterfeited apparel was discovered to be quite low, meaning that many more actions are needed in further educating Chinese consumers on the negative impacts of producing and selling counterfeits. This, specifically, pertains to an individual's level of social responsibility. The findings of this study are similar to those previously reported [39], stating that Chinese students possessed minimal knowledge of intellectual property rights, which, again, is an important aspect in encouraging individual social responsibility among Chinese consumers. Overall, because participants in this study possessed minimal knowledge of counterfeit apparel goods, educational action on individual social responsibility that is aimed at expanding Chinese consumers' knowledge regarding the unintended social consequences of purchasing counterfeit apparel products has the potential to modify Chinese consumers' demands for and purchasing intentions of counterfeit apparel products.

These findings suggest that luxury and other popular Western apparel firms oftentimes copied and available in the Chinese marketplaces should work in tandem with researchers to enhance the education among Chinese consumers regarding how to discriminate between genuine products and counterfeit products. The most counterfeited fashion brands today include Louis Vuitton, Ray-Ban, Rolex, and Nike. To improve Chinese consumers' narrow understanding of counterfeit products, it is also worthwhile to test effective measures for educating consumers and developing marketing campaigns that include topics such as intellectual property rights, product and worker safety (corporate social responsibility), and individual socially responsible purchase behaviors (individual social responsibility).

Future research should also explore the effectiveness of strengthening digital platforms for Chinese consumers in informing them about counterfeits. This would not only provide supplementary information on social responsibility to consumers in general but also to the many who oftentimes mistakenly purchase counterfeit goods. In fact, such an online communication system already exists on Weibo (Chinese version of Facebook) [48]. As improvements to these websites and other blogs are made, the opportunities for consumers to anonymously report infringements of intellectual property rights and the magnitude of apparel counterfeits witnessed in the Chinese marketplace are reinforced and supported.

In examining what role do face-saving values play in Chinese consumers' relation to counterfeit apparel products, analysis of the data showed a significant positive relationship between participants' levels of face-saving values and their attitudes toward counterfeit apparel products; determining that the role of cultural norms and values may impact an individual's purchasing behavior of counterfeit goods, given lower price points than genuine luxury products. In order to negate the influence of face-saving values in counterfeit purchasing behavior, educating consumers should play a significant role as a cultural agent that promotes a more socially responsible alternative to success and happiness. However, given the history of this cultural norm in China, testing multiple methods for transforming this norm will have to be a focus of further research, which will not be an easy endeavor.

Existing research has shown that consumers with strong face-saving values tend to be more materialistic in nature and associate the ownership and acquisition of material objects and goods as a symbol of success [27, 22]. A post hoc analysis of data collected in this study did reveal a significant positive relationship between face-saving values and materialistic values.

That is, those who placed a greater importance on face-saving values also were more materialistic in nature. This result is consistent with other studies, which indicated that consumers with stronger face-saving values are more materialistic than those less preoccupied with this cultural norm [27, 30, 49].

The data collected as part of this study also revealed that materialistic values do play a significant role in Chinese consumers' relation to counterfeit apparel goods. According to previous research, young adults in China have a very high level of materialism in comparison to other countries [49, 50]. With a concurrent level of strong face-saving values and materialistic values, Chinese consumers possess a greater importance and emphasis on obtaining material objects to showcase their success in life. Previous researchers [31] reported that due to strong materialistic values, Chinese consumers tend to obtain highly recognized Western brand and luxury products (mostly counterfeited) to display their wealth and social status. Existing research has also revealed that Chinese consumers are willing to purchase imitations of famous Western luxury brands that can boost their social status in public [51]. As part of the current project, the findings serve as another confirmation of the strong role and impact of consumers' levels of materialism on their attitudes toward counterfeit apparel goods.

In examining what role do ethical values play in Chinese consumers' relation to counterfeit apparel products, the data revealed a significant positive relationship between participants' ethical values and attitudes toward counterfeit products. This finding indicates that participants who held a moderate level of ethical values still maintained favorable attitudes toward counterfeit apparel goods. It seems that there is a distortion between ethical values and buying counterfeit apparel products among Chinese consumers. This finding is consistent with other research [52], which reported that Malaysian consumers also possessed a high level of ethical standards while maintaining positive attitudes toward counterfeit products.

However, these findings are contradictory to previous research [53] that indicated that consumers have lower purchase intentions of counterfeit apparel goods when they hold stronger ethical values. In this study, ethical values did not inversely impact participants' attitudes toward counterfeits. Future research should further explore differences in cultural norms and their impact on the demand and sale of counterfeit apparel goods. In the Chinese cultural tradition, ethical values are a concept that comes from the five traditional conceptions of Confucianism, Maoism, Daoism, Legalism, and Chinese Buddhism. As a result of this, ethical values are not only about behaving legally or morally but also include the concepts of moderation based on Confucianism, social norms taught from Daoism, honesty and honor sourced from Legalism, and mercy rooted in Buddhism.

Based on the feedback collected from the pretest participants, the original scale measuring ethical values had to be modified before further data could be gathered. Given the results of the pretest, it is plausible that the model developed by previous researchers [30] may not adequately measure the ethical values of Chinese consumers. The original consumer ethics scale [43] included 16 statements. However, given the feedback from pretest participants, five of the 16 statements were removed. These statements included: "I don't see a problem in getting too much change and not saying anything," "I don't see a problem with returning merchandise to a store by claiming that it was a gift when it was not," "I think it is okay to stretch the truth on an income tax return," "I think it is okay to not tell the truth when negotiating the price of a new automobile," and "I think it is okay to download music that I did not actually purchase." These statements were deemed unsuitable and were difficult to understand among the pretest participants. Pretest participants stated that these statements were not relatable to the people of China. As such, in order to more effectively examine Chinese consumers' ethical values, future researchers should consider developing and testing the applicability and reliability of other scales measuring this variable which is more reflective of the Chinese culture. This research will involve the collection of both qualitative and quantitative data.

Another possible reason for the finding that ethical values are positively related to attitudes of counterfeit goods is that participants, overall, lacked an understanding of the negative consequences of buying counterfeit goods. This result opens an opportunity for further research, investigating the reasons why Chinese consumers do not feel unethical when purchasing counterfeit apparel products. Is it simply because Chinese consumers lack a basic understanding of the negative impacts of the production, distribution, and consumption of counterfeits? An advanced understanding about this would also aid in fostering greater individual social responsibility among consumers in China as it relates to the demand of counterfeits in the marketplace. In order to emphasize individual social responsibility, more effective tools for educating consumers on the destructiveness of counterfeits are warranted. Previous studies have suggested anti-counterfeit education as a potential means in reversing the demand of counterfeit goods [8, 42, 47], but a lack of empirical evidence on this topic currently exists.

5. Conclusion

This study set out to examine the roles of face-saving values, materialistic values, and ethical values in relation to counterfeit apparel products among Chinese consumers. An analysis of the difference in knowledge and attitudes toward apparel counterfeits was also explored. In previous studies, consumers, around the globe, have been reported to: (1) maintain limited knowledge in respect to individual and corporate socially responsible practices in the apparel supply chain, (2) are unfamiliar with the counterfeiting phenomenon, and (3) are unaware of the negative connotations and illicit activities associated with counterfeits, such as terrorism, child labor, and drug cartels [14, 16, 40, 54–57]. As part of this study, it was discovered that Chinese participants were mostly unaware of counterfeits and unsure of their attitudes toward apparel counterfeits. Participants also held strong face-saving, materialistic, and ethical values, which had a significant impact on their attitudes toward counterfeits. Coupled with the findings reported by previous researchers studying along the same parameters, the results of this study are poignant in encouraging individual social responsibility as it pertains to the demand of counterfeits in the global marketplace.

The findings of this study are also beneficial to Western and Eastern apparel firms in corporate socially responsible thinking and training. Sustainable product development and methods for researching efficient marketing strategies to curb the demand of counterfeits in the Chinese marketplace can produce valuable information. The results of this study serve as reference for other scholars on further examining the subject of counterfeits, sustainability, and social and corporate responsibility in the fashion industry. The data analysis in this study contributes to academic and industry discussions on corporate social responsibility and remitting the commission to endorsing efforts in anti-counterfeit eradication. The findings of this study are crucial in serving as the foundation of authenticating the topics of socially and ethically responsible education of Chinese consumers, particularly given the current and continued growth of the spending power of consumers in China.

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With globalisation on the rise and capitalism expanding, social responsibility, corporate as well as individual social responsibility, plays an important part to save the natural environment and improve the lives of citizens. But how responsibly do corporations and ordinary citizens act in order to meet the demands of our fast-changing world? Authors from different universities contribute their knowledge on this open-access platform to be shared at a global level. This book starts off by contemplating whether the concept of world society could be an ice-breaker for a global shift in sociology (Wittmann); it critically assesses social responsibility of Spanish university students (Ramos), discusses professional social responsibility in engineering (Bielefeldt), looks at conflicts in Kenya's mining industry (Abuya) and evaluates the public healthcare system in Italy (Comite) and the corporate and consumer social responsibility in the Italian food industry (Boccia & Covino). The book also includes guidelines for managers who want to enter the corporate world (Gorondutse & Hilman) and ends with a chapter examining Chinese consumers' attitudes towards counterfeit goods (Kozar & Huang). The collective contributions of these experts provide updates regarding ongoing research and developments in relation to the urgent need for improved social responsibility.

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